



Concorde Investment Services, LLC

04/27/2017
Page No. 1

COMMISSION STATEMENT

April 30, 2017

JOHN ROSS
7261 W. Central Ave.

Toledo, OH 43617

BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
03/31/2017	SANDERSON, STEPHEN	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	20.00	0.00	20.00	92.0	18.40
03/31/2017	YOUNG, KEITH	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	9.86	0.00	9.86	92.0	9.07
* REIT SUBTOTAL *			\$0.00	\$29.86	\$0.00	\$29.86		\$27.47
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/31/2017	LONG, PAUL	GRIFFIN INST'L ACCESS R E FUND	0.00	3.23	0.00	3.23	92.0	2.97
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$3.23	\$0.00	\$3.23		\$2.97
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	BEVILLE, RANDY	AM FUNDS 2015 TARGET DATE R2	0.00	0.83	0.00	0.83	92.0	0.76
04/03/2017	VALADE, JOHN	AM FUNDS 2015 TARGET DATE R2	0.00	6.57	0.00	6.57	92.0	6.04
04/03/2017	SCHOEN, ELIZABETH	AM FUNDS 2015 TARGET DATE R2	0.00	58.24	0.00	58.24	92.0	53.58
04/03/2017	SCHOEN, JONATHAN	AM FUNDS 2015 TARGET DATE R2	0.00	76.56	0.00	76.56	92.0	70.44
04/03/2017	BEVILLE, RANDY	AM FUNDS 2020 TARGET DATE-R2	0.00	1.25	0.00	1.25	92.0	1.15
04/03/2017	XU, YING	AM FUNDS 2020 TARGET DATE-R2	0.00	1.22	0.00	1.22	92.0	1.12
04/03/2017	SAYERS, JOHN	AM FUNDS 2025 TARGET DATE R2	0.00	4.22	0.00	4.22	92.0	3.88
04/03/2017	PIDCOCK, ERIC	AM FUNDS 2025 TARGET DATE R2	0.00	9.57	0.00	9.57	92.0	8.80
04/03/2017	LISKAI, JASON	AM FUNDS 2025 TARGET DATE R2	0.00	15.57	0.00	15.57	92.0	14.32
04/03/2017	CONKLIN, DAVID	AM FUNDS 2035 TARGET DATE R2	0.00	3.02	0.00	3.02	92.0	2.78
04/03/2017	MILLER, JEFFREY	AM FUNDS 2035 TARGET DATE R2	0.00	0.11	0.00	0.11	92.0	0.10
04/03/2017	XU, YING	AM FUNDS AMCAP R2	0.00	1.20	0.00	1.20	92.0	1.10
04/03/2017	TOLEDO GLASS	AM FUNDS AMERICAN BALANCED R2	0.00	0.12	0.00	0.12	92.0	0.11
04/03/2017	RINKOWSKI, JOHN	AM FUNDS AMERICAN BALANCED R2	0.00	12.61	0.00	12.61	92.0	11.60
04/03/2017	TROUT, TINA	AM FUNDS AMERICAN BALANCED R2	0.00	5.62	0.00	5.62	92.0	5.17
04/03/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED R2	0.00	6.93	0.00	6.93	92.0	6.38
04/03/2017	TROUT, KRISOPHER	AM FUNDS AMERICAN BALANCED R2	0.00	16.44	0.00	16.44	92.0	15.12
04/03/2017	HOLMES, JAMES	AM FUNDS AMERICAN BALANCED R2	0.00	3.14	0.00	3.14	92.0	2.89

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	VALADE, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.20	0.00	8.20	92.0	7.54
04/03/2017	WHITENBURG, DAWN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.38	0.00	3.38	92.0	3.11
04/03/2017	SCHOEN, ELIZABETH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	15.92	0.00	15.92	92.0	14.65
04/03/2017	CONKLIN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.79	0.00	0.79	92.0	0.73
04/03/2017	SCHOEN, JONATHAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	20.81	0.00	20.81	92.0	19.15
04/03/2017	TROUT, TINA	AM FUNDS AMERICAN MUTUAL R2	0.00	4.87	0.00	4.87	92.0	4.48
04/03/2017	THOMAS, KATHY	AM FUNDS AMERICAN MUTUAL R2	0.00	3.00	0.00	3.00	92.0	2.76
04/03/2017	BEVILLE, RANDY	AM FUNDS AMERICAN MUTUAL R2	0.00	0.87	0.00	0.87	92.0	0.80
04/19/2017	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	250.00	7.50	0.00	7.50	92.0	6.90
04/03/2017	TROUT, TINA	AM FUNDS BOND FUND OF AMERICA R2	0.00	1.99	0.00	1.99	92.0	1.83
04/03/2017	BEVILLE, RANDY	AM FUNDS BOND FUND OF AMERICA R2	0.00	1.80	0.00	1.80	92.0	1.66
04/03/2017	VALADE, JOHN	AM FUNDS BOND FUND OF AMERICA R2	0.00	9.25	0.00	9.25	92.0	8.51
04/03/2017	RINKOWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	10.18	0.00	10.18	92.0	9.37
04/03/2017	TROUT, TINA	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	4.99	0.00	4.99	92.0	4.59
04/03/2017	HERR, GREGORY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	7.78	0.00	7.78	92.0	7.16
04/03/2017	LAYTART, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	0.07	0.00	0.07	92.0	0.06
04/03/2017	WARREN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	1.57	0.00	1.57	92.0	1.44
04/03/2017	THOMAS, KATHY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	2.98	0.00	2.98	92.0	2.74
04/03/2017	BEVILLE, RANDY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	7.29	0.00	7.29	92.0	6.71
04/03/2017	KNAPP, SYLKE	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	5.81	0.00	5.81	92.0	5.35
04/03/2017	VALADE, JOHN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	37.32	0.00	37.32	92.0	34.33
04/03/2017	WHITENBURG, DAWN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	3.50	0.00	3.50	92.0	3.22
04/03/2017	SPECK, SHELLY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	5.37	0.00	5.37	92.0	4.94
04/03/2017	SCHOEN, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	17.27	0.00	17.27	92.0	15.89
04/03/2017	HOLMES, JAMES	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	2.74	0.00	2.74	92.0	2.52
04/03/2017	CONKLIN, DAVID	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	0.44	0.00	0.44	92.0	0.40
04/03/2017	SCHOEN, JONATHAN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	22.70	0.00	22.70	92.0	20.88
04/03/2017	KIEFER, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	4.00	0.00	4.00	92.0	3.68
04/03/2017	TROUT, TINA	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	6.63	0.00	6.63	92.0	6.10
04/03/2017	HERR, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	8.32	0.00	8.32	92.0	7.65
04/03/2017	LAYTART, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	0.07	0.00	0.07	92.0	0.06
04/03/2017	WARREN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	1.69	0.00	1.69	92.0	1.55
04/03/2017	NICHOLSON, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	6.59	0.00	6.59	92.0	6.06

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	THOMAS, KATHY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	3.21	0.00	3.21	92.0	2.95
04/03/2017	STEFKO, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	0.03	0.00	0.03	92.0	0.03
04/03/2017	BEVILLE, RANDY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	7.50	0.00	7.50	92.0	6.90
04/03/2017	SMITH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	55.77	0.00	55.77	92.0	51.31
04/03/2017	KNAPP, SYLKE	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	3.09	0.00	3.09	92.0	2.84
04/03/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	33.08	0.00	33.08	92.0	30.43
04/03/2017	WHITENBURG, DAWN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	3.72	0.00	3.72	92.0	3.42
04/03/2017	SPECK, SHELLY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	5.71	0.00	5.71	92.0	5.25
04/03/2017	HOLMES, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	5.78	0.00	5.78	92.0	5.32
04/10/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	5.00	0.00	5.00	92.0	4.60
04/03/2017	KIEFER, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	3.51	0.00	3.51	92.0	3.23
04/03/2017	TROUT, TINA	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	2.19	0.00	2.19	92.0	2.01
04/03/2017	LAYTART, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	0.06	0.00	0.06	92.0	0.06
04/03/2017	WARREN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	1.43	0.00	1.43	92.0	1.32
04/03/2017	NICHOLSON, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	2.98	0.00	2.98	92.0	2.74
04/03/2017	THOMAS, KATHY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	2.04	0.00	2.04	92.0	1.88
04/03/2017	STEFKO, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	0.02	0.00	0.02	92.0	0.02
04/03/2017	BEVILLE, RANDY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	0.85	0.00	0.85	92.0	0.78
04/03/2017	KNAPP, SYLKE	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	2.75	0.00	2.75	92.0	2.53
04/03/2017	VALADE, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	27.40	0.00	27.40	92.0	25.21
04/03/2017	WHITENBURG, DAWN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	3.35	0.00	3.35	92.0	3.08
04/03/2017	SPECK, SHELLY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	5.07	0.00	5.07	92.0	4.66
04/03/2017	KIEFER, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	4.96	0.00	4.96	92.0	4.56
04/03/2017	TROUT, TINA	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	5.57	0.00	5.57	92.0	5.12
04/03/2017	HERR, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	10.30	0.00	10.30	92.0	9.48
04/03/2017	LAYTART, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	0.10	0.00	0.10	92.0	0.09
04/03/2017	WARREN, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	2.14	0.00	2.14	92.0	1.97
04/03/2017	NICHOLSON, JAMES	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	18.59	0.00	18.59	92.0	17.10
04/03/2017	THOMAS, KATHY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	4.17	0.00	4.17	92.0	3.84
04/03/2017	STEFKO, RONALD	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	0.04	0.00	0.04	92.0	0.04
04/03/2017	BEVILLE, RANDY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	1.34	0.00	1.34	92.0	1.23
04/03/2017	VALADE, JOHN	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	8.16	0.00	8.16	92.0	7.51
04/03/2017	SPECK, SHELLY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	3.46	0.00	3.46	92.0	3.18

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	SZABO, LINDA	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	59.41	0.00	59.41	92.0	54.66
04/03/2017	CONKLIN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	1.17	0.00	1.17	92.0	1.08
04/03/2017	KIEFER, SUSAN	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	4.97	0.00	4.97	92.0	4.57
04/03/2017	TROUT, TINA	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	3.48	0.00	3.48	92.0	3.20
04/03/2017	HERR, GREGORY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	10.36	0.00	10.36	92.0	9.53
04/03/2017	WARREN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	1.06	0.00	1.06	92.0	0.98
04/03/2017	STEFKO, RONALD	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	0.04	0.00	0.04	92.0	0.04
04/03/2017	SMITH, DAVID	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	69.97	0.00	69.97	92.0	64.37
04/03/2017	VALADE, JOHN	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	39.39	0.00	39.39	92.0	36.24
04/03/2017	SPECK, SHELLY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	3.48	0.00	3.48	92.0	3.20
04/03/2017	HOLMES, JAMES	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	5.35	0.00	5.35	92.0	4.92
04/03/2017	CONKLIN, DAVID	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	1.20	0.00	1.20	92.0	1.10
04/03/2017	XU, YING	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	1.23	0.00	1.23	92.0	1.13
04/03/2017	CONKLIN, DAVID	AM FUNDS ICA R2	0.00	1.17	0.00	1.17	92.0	1.08
04/10/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	300.00	4.80	0.00	4.80	92.0	4.42
04/10/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	30.00	0.48	0.00	0.48	92.0	0.44
04/10/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	300.00	4.80	0.00	4.80	92.0	4.42
04/10/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	150.00	2.40	0.00	2.40	92.0	2.21
04/03/2017	HOLMES, JAMES	AM FUNDS INCOME FUND OF AMERICA-R2	0.00	2.98	0.00	2.98	92.0	2.74
04/03/2017	CONKLIN, DAVID	AM FUNDS INCOME FUND OF AMERICA-R2	0.00	1.45	0.00	1.45	92.0	1.33
04/03/2017	HOLMES, JAMES	AM FUNDS INTL GROWTH AND INCOME R2	0.00	3.53	0.00	3.53	92.0	3.25
04/03/2017	CONKLIN, DAVID	AM FUNDS INTL GROWTH AND INCOME R2	0.00	0.37	0.00	0.37	92.0	0.34
04/03/2017	XU, YING	AM FUNDS NEW ECONOMY FUND-R2	0.00	1.19	0.00	1.19	92.0	1.09
04/17/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	25.00	1.25	0.00	1.25	92.0	1.15
04/03/2017	KIEFER, SUSAN	AM FUNDS NEW WORLD R2	0.00	3.43	0.00	3.43	92.0	3.16
04/03/2017	TROUT, TINA	AM FUNDS NEW WORLD R2	0.00	2.16	0.00	2.16	92.0	1.99
04/03/2017	LAYTART, MATTHEW	AM FUNDS NEW WORLD R2	0.00	0.05	0.00	0.05	92.0	0.05
04/03/2017	WARREN, JEFFREY	AM FUNDS NEW WORLD R2	0.00	0.79	0.00	0.79	92.0	0.73
04/03/2017	NICHOLSON, JAMES	AM FUNDS NEW WORLD R2	0.00	3.60	0.00	3.60	92.0	3.31
04/03/2017	THOMAS, KATHY	AM FUNDS NEW WORLD R2	0.00	1.37	0.00	1.37	92.0	1.26
04/03/2017	STEFKO, RONALD	AM FUNDS NEW WORLD R2	0.00	0.02	0.00	0.02	92.0	0.02
04/03/2017	BEVILLE, RANDY	AM FUNDS NEW WORLD R2	0.00	0.43	0.00	0.43	92.0	0.40
04/03/2017	KNAPP, SYLKE	AM FUNDS NEW WORLD R2	0.00	2.65	0.00	2.65	92.0	2.44

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	VALADE, JOHN	AM FUNDS NEW WORLD R2	0.00	25.07	0.00	25.07	92.0	23.06
04/03/2017	WHITENBURG, DAWN	AM FUNDS NEW WORLD R2	0.00	3.22	0.00	3.22	92.0	2.96
04/03/2017	SPECK, SHELLY	AM FUNDS NEW WORLD R2	0.00	4.87	0.00	4.87	92.0	4.48
04/03/2017	SCHOEN, ELIZABETH	AM FUNDS NEW WORLD R2	0.00	9.62	0.00	9.62	92.0	8.85
04/03/2017	SCHOEN, JONATHAN	AM FUNDS NEW WORLD R2	0.00	12.69	0.00	12.69	92.0	11.67
04/17/2017	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	250.00	5.00	0.00	5.00	92.0	4.60
04/17/2017	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
04/10/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	92.0	2.30
04/11/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	250.00	2.50	0.00	2.50	92.0	2.30
04/03/2017	HERR, GREGORY	AM FUNDS SMALLCAP WORLD-R2	0.00	9.09	0.00	9.09	92.0	8.36
04/03/2017	SZABO, LINDA	AM FUNDS SMALLCAP WORLD-R2	0.00	22.69	0.00	22.69	92.0	20.87
04/03/2017	SCHOEN, ELIZABETH	AM FUNDS SMALLCAP WORLD-R2	0.00	12.30	0.00	12.30	92.0	11.32
04/03/2017	HOLMES, JAMES	AM FUNDS SMALLCAP WORLD-R2	0.00	2.95	0.00	2.95	92.0	2.71
04/03/2017	CONKLIN, DAVID	AM FUNDS SMALLCAP WORLD-R2	0.00	0.48	0.00	0.48	92.0	0.44
04/03/2017	SCHOEN, JONATHAN	AM FUNDS SMALLCAP WORLD-R2	0.00	16.38	0.00	16.38	92.0	15.07
04/11/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	250.00	2.50	0.00	2.50	92.0	2.30
04/19/2017	DRAKE, ERIC	PUTNAM MONEY MARKET A	-5,754.16	22.00	22.00	0.00	92.0	0.00
04/19/2017	DRAKE, ERIC	PUTNAM MULTI-CAP VALUE A	-26,221.11	22.00	22.00	0.00	92.0	0.00
04/03/2017	TROUT, TINA	U.S. GOVERNMENT SECURITIES FUND-R2	0.00	1.96	0.00	1.96	92.0	1.80
04/03/2017	HOLMES, JAMES	U.S. GOVERNMENT SECURITIES FUND-R2	0.00	2.24	0.00	2.24	92.0	2.06
* MUTUAL FUNDS SUBTOTAL *			\$-28,520.27	\$1,142.37	\$44.00	\$1,098.37		\$1,010.45
<u>PRODUCT CATEGORY: STOCKS</u>								
04/12/2017	BECK, JOHN	CENTRAL FD CDA LTD CL A	-1,305.35	50.00	22.50	27.50	92.0	25.30
04/12/2017	BECK, JOHN	SPROTT PHYSICAL GOLD TR UNIT ISIN#C	-3,151.50	50.00	22.50	27.50	92.0	25.30
04/12/2017	BECK, JOHN	SPROTT PHYSICAL SILVER TR TR UNIT I	-2,363.85	50.00	22.51	27.49	92.0	25.29
* STOCKS SUBTOTAL *			\$-6,820.70	\$150.00	\$67.51	\$82.49		\$75.89
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/11/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
04/12/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
04/17/2017	ROSS, SUSAN	TRANSAMERICA LIBERTY	2,000.00	80.00	0.00	80.00	92.0	73.60
* VARIABLE ANNUITIES SUBTOTAL *			\$2,190.00	\$90.45	\$0.00	\$90.45		\$83.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/11/2017	STEDCKE, EILEEN	ING PREMIUM PLUS 2005	0.00	13.74	0.00	13.74	92.0	12.64
04/17/2017	HAUSFELD, DAVID	ING PREMIUM PLUS 2005	0.00	9.52	0.00	9.52	92.0	8.76
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.26	\$0.00	\$23.26		\$21.40
*** BROKER TRANSACTIONS TOTAL ***			\$-33,150.97	\$1,439.17	\$111.51	\$1,327.66		\$1,221.39

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

03/31/2017	ZORNOW TRUST, BETTY	AMERITAS LIFE TRAILS	0.00	94.62	0.00	94.62	85.0	6.62
04/17/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	25.00	1.25	0.00	1.25	85.0	0.09
04/17/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	25.00	1.25	0.00	1.25	85.0	0.09
04/17/2017	LEROUX, LAURA	BLK MOD 10-12 AGE BASED A	300.00	11.25	0.00	11.25	85.0	0.79
/ /	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	11.25	0.00	11.25	85.0	0.79
04/05/2017	JOHNSON, CHARLES	MAINSTAY CORNERSTONE GRW FD	0.00	0.51	0.00	0.51	85.0	0.04
04/05/2017	JOHNSON, LINDA	MAINSTAY CORNERSTONE GRW FD	0.00	0.48	0.00	0.48	85.0	0.03
04/05/2017	JOHNSON, CHARLES	MAINSTAY CORNERSTONE GRW FD	0.00	2.77	0.00	2.77	85.0	0.19
04/05/2017	JOHNSON, CHARLES	MAINSTAY US SMALL CAP INV	0.00	0.61	0.00	0.61	85.0	0.04
04/05/2017	JOHNSON, LINDA	MAINSTAY US SMALL CAP INV	0.00	0.60	0.00	0.60	85.0	0.04
04/05/2017	JOHNSON, CHARLES	MAINSTAY US SMALL CAP INV	0.00	4.78	0.00	4.78	85.0	0.33
04/12/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
04/03/2017	PRZYBYLSKI, JOSHUA	PIMCO STOCKSPUS C	0.00	4.30	0.00	4.30	85.0	0.30
04/03/2017	PRZYBYLSKI, JOSHUA	PIMCO STOCKSPUS C	0.00	7.75	0.00	7.75	85.0	0.54
04/04/2017	FRANTZ, JUDITH	PIONEER CULLEN VALUE FUND A	0.00	15.72	0.00	15.72	85.0	1.10
04/04/2017	FRANTZ, JUDITH	PIONEER EMERGING MARKETS A	0.00	3.72	0.00	3.72	85.0	0.26
04/04/2017	FRANTZ, JUDITH	PIONEER EQUITY INCOME A	0.00	30.80	0.00	30.80	85.0	2.16
04/04/2017	FRANTZ, JUDITH	PIONEER FUND A	0.00	3.65	0.00	3.65	85.0	0.26
04/04/2017	FRANTZ, JUDITH	PIONEER GROWTH OPPORTUNITIES A	0.00	3.76	0.00	3.76	85.0	0.26
04/04/2017	FRANTZ, JUDITH	PIONEER VALUE A	0.00	29.78	0.00	29.78	85.0	2.08
04/17/2017	BUEHRER, SARAH	TRANSAMERICA LIBERTY	6,500.00	260.00	0.00	260.00	85.0	18.20
* THOMAS HALSEY SUBTOTAL *			\$6,900.00	\$491.60	\$0.00	\$491.60		\$34.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
04/03/2017	MANNON, ANN	AM FUNDS 2010 TARGET DATE R2	0.00	6.46	0.00	6.46	90.0	0.13
04/03/2017	SCHMIDBAUER, JOSEPH	AM FUNDS 2015 TARGET DATE R2	0.00	39.94	0.00	39.94	90.0	0.80
04/03/2017	SCHMIDBAUER, ROBIN	AM FUNDS 2025 TARGET DATE R2	0.00	22.37	0.00	22.37	90.0	0.45
04/03/2017	WILSON, SHANNON	AM FUNDS 2030 TARGET DATE R2	0.00	2.37	0.00	2.37	90.0	0.05
04/03/2017	COURTS, TRACI	AM FUNDS 2030 TARGET DATE R2	0.00	0.83	0.00	0.83	90.0	0.02
04/03/2017	SCHMIDBAUER, JOSEPH	AM FUNDS BOND FUND OF AMERICA R2	0.00	20.52	0.00	20.52	90.0	0.41
04/03/2017	MEYER, JILL	AM FUNDS BOND FUND OF AMERICA R2	0.00	3.99	0.00	3.99	90.0	0.08
02/28/2017	SHAFFER, CLARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	42.36	0.00	42.36	90.0	0.85
04/03/2017	SCHMIDBAUER, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	26.38	0.00	26.38	90.0	0.53
04/03/2017	MEYER, JILL	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	5.12	0.00	5.12	90.0	0.10
04/03/2017	SCHMIDBAUER, ROBIN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	17.58	0.00	17.58	90.0	0.35
04/03/2017	WILSON, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	1.08	0.00	1.08	90.0	0.02
04/03/2017	WARD, KIMBERLEY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	0.62	0.00	0.62	90.0	0.01
04/03/2017	SCHMIDBAUER, JOSEPH	AM FUNDS NEW WORLD R2	0.00	8.80	0.00	8.80	90.0	0.18
04/03/2017	MEYER, JILL	AM FUNDS NEW WORLD R2	0.00	3.68	0.00	3.68	90.0	0.07
04/03/2017	SCHMIDBAUER, ROBIN	AM FUNDS NEW WORLD R2	0.00	3.70	0.00	3.70	90.0	0.07
04/11/2017	RUTLEDGE, JOANNE	GOOD HARBOR TACTICAL CORE US FD A	0.00	4.78	0.00	4.78	90.0	0.10
04/12/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
03/31/2017	SCHMIDBAUER, JOSEPH	PHOENIX IND EDGE	806.77	2.01	0.00	2.01	90.0	0.04
04/18/2017	SEITZINGER, MARK	TRANSAMERICA LIBERTY	6,500.00	260.00	0.00	260.00	90.0	5.20
* ROBERT THOMPSON SUBTOTAL *			\$7,456.77	\$482.72	\$0.00	\$482.72		\$9.66
*** OVERRIDE TRANSACTIONS TOTAL ***			\$14,356.77	\$974.32	\$0.00	\$974.32		\$44.06

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BROKER COMMISSION TOTALS

Broker Transactions	\$1,221.39
Split Transactions	\$0.00
Override Transactions	\$44.06
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	\$1,265.45
Year-to-date Gross	\$46,527.05
Year-to-date Earnings	\$44,431.32