



Concorde Investment Services, LLC

12/15/2017

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COMMISSION STATEMENT

December 15, 2017

JAMES MAHER
3082 Quail Ridge Circle

BROKER #: M127
BRANCH: JAMES MAHER

Rochester Hills, MI 48309-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/04/2017	MARKHAM, JASON	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
12/05/2017	MARKHAM, CLAIRE	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	1.00	0.00	1.00	90.0	0.90
12/05/2017	MARKHAM, JASON	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	0.75	0.00	0.75	90.0	0.68
12/04/2017	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	0.50	0.00	0.50	90.0	0.45
12/05/2017	MARKHAM, CLAIRE	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.00	0.00	1.00	90.0	0.90
12/05/2017	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	QUSSAR, JAMES	AM FUNDS ICA 529C	75.00	0.75	0.00	0.75	90.0	0.68
12/04/2017	QUSSAR, JAMES	AMERICAN FUNDS GRWTH & INC PF 529C	75.00	0.75	0.00	0.75	90.0	0.68
12/04/2017	QUSSAR, JAMES	AMERICAN FUNDS INCOME PF 529C	75.00	0.75	0.00	0.75	90.0	0.68
* 529 PLANS SUBTOTAL *			\$800.00	\$8.00	\$0.00	\$8.00		\$7.22
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	LINDSEY, CHARLES	AM FUNDS AMCAP A	0.00	1.94	0.00	1.94	90.0	1.75
11/09/2017	MAHER, MAIGHDLIN	AM FUNDS AMCAP C	0.00	1.58	0.00	1.58	90.0	1.42
11/09/2017	PALMER, TODD	AM FUNDS AMCAP C	0.00	23.93	0.00	23.93	90.0	21.54
11/09/2017	SIMON, MICHAEL	AM FUNDS AMCAP C	0.00	7.42	0.00	7.42	90.0	6.68
11/09/2017	TAYLOR, JAMIE	AM FUNDS AMERICAN BALANCED C	0.00	23.81	0.00	23.81	90.0	21.43
11/09/2017	ALLEN, MARY	AM FUNDS AMERICAN BALANCED C	0.00	10.12	0.00	10.12	90.0	9.11
11/09/2017	PALMERI, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	90.0	0.36
11/09/2017	GILLESPIE, HEATHER	AM FUNDS BOND FUND OF AMERICA A	0.00	4.53	0.00	4.53	90.0	4.08
11/09/2017	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.27	0.00	2.27	90.0	2.04
11/09/2017	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.94	0.00	2.94	90.0	2.65
11/09/2017	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	0.00	2.00	90.0	1.80
11/09/2017	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.06	0.00	2.06	90.0	1.85
11/01/2017	MARKHAM, JASON	AM FUNDS CAPITAL INCOME BUILDER C	3,400.00	34.00	0.00	34.00	90.0	30.60
11/01/2017	MARKHAM, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER C	7,200.00	72.00	0.00	72.00	90.0	64.80

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	FRASER, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.38	0.00	7.38	90.0	6.64
11/09/2017	KORESKY, JOHN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.51	0.00	1.51	90.0	1.36
11/09/2017	O'CONNOR, HOLLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.58	0.00	6.58	90.0	5.92
11/09/2017	O'DONNELL, JUDITH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.08	0.00	9.08	90.0	8.17
11/09/2017	BUSSELL, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.36	0.00	6.36	90.0	5.72
11/09/2017	MAHER, HENRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.85	0.00	38.85	90.0	34.97
11/09/2017	NUNEZ TRUST, LYNDIA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	25.17	0.00	25.17	90.0	22.65
11/09/2017	EBERHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.57	0.00	9.57	90.0	8.61
11/09/2017	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.89	0.00	6.89	90.0	6.20
11/09/2017	HENKE, FRANK	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.71	0.00	12.71	90.0	11.44
11/09/2017	HEILMANN, MAUREEN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.77	0.00	9.77	90.0	8.79
11/09/2017	KESSOR, LAURA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	23.11	0.00	23.11	90.0	20.80
11/09/2017	PROKOP, STANLEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	142.95	0.00	142.95	90.0	128.66
11/09/2017	KOTT, DIANE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	5.90	0.00	5.90	90.0	5.31
11/09/2017	TAYLOR, JAMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	23.09	0.00	23.09	90.0	20.78
11/09/2017	STONE, EDWARD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.39	0.00	12.39	90.0	11.15
11/09/2017	MAHER, KEIRA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.65	0.00	1.65	90.0	1.49
11/09/2017	FOSTER SP TRUST, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.66	0.00	2.66	90.0	2.39
11/09/2017	PLASTIRAS, JULIANA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	11.45	0.00	11.45	90.0	10.31
11/09/2017	MARKHAM, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.92	0.00	1.92	90.0	1.73
11/09/2017	RUSSO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.41	0.00	9.41	90.0	8.47
11/09/2017	RUSSO, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.75	0.00	12.75	90.0	11.48
11/09/2017	ALLEN, MARY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	10.02	0.00	10.02	90.0	9.02
11/09/2017	HEIDLOFF, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.62	0.00	3.62	90.0	3.26
11/09/2017	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.62	0.00	7.62	90.0	6.86
11/21/2017	KUECKEN-PROTECTED, DANIEL	AM FUNDS CAPITAL INCOME BUILDER C	24,000.00	260.00	0.00	260.00	90.0	234.00
11/09/2017	ZANONI, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.54	0.00	1.54	90.0	1.39
11/09/2017	QUEDNAU, KELLY	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	9.20	0.00	9.20	90.0	8.28
11/09/2017	KORESKY, JOHN	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.93	0.00	0.93	90.0	0.84
11/09/2017	GUMBLETON, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	2.73	0.00	2.73	90.0	2.46
11/09/2017	MARIN REV TRUST, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	3.04	0.00	3.04	90.0	2.74
11/09/2017	PIZZO, MICHELE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.94	0.00	1.94	90.0	1.75
11/09/2017	PIZZO, REBECCA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.45	0.00	1.45	90.0	1.31

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.17	0.00	1.17	90.0	1.05
11/09/2017	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.31	0.00	1.31	90.0	1.18
11/09/2017	VIAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.60	0.00	0.60	90.0	0.54
11/09/2017	LINDSEY, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.21	0.00	1.21	90.0	1.09
11/09/2017	PALMERI, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	90.0	0.67
11/09/2017	HOPPE, KYLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	90.0	1.69
11/09/2017	OLIVER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	90.0	0.15
11/09/2017	MAHER, HENRY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	22.15	0.00	22.15	90.0	19.94
11/09/2017	QUEDNAU, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	22.44	0.00	22.44	90.0	20.20
11/09/2017	LUJAN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	7.87	0.00	7.87	90.0	7.08
11/09/2017	QUSSAR, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.49	0.00	8.49	90.0	7.64
11/09/2017	NUNEZ TRUST, LYNDIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	59.42	0.00	59.42	90.0	53.48
11/09/2017	JACK, STANLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	15.03	0.00	15.03	90.0	13.53
11/09/2017	JACK, STANLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.23	0.00	1.23	90.0	1.11
11/09/2017	LOUGHLIN, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.20	0.00	2.20	90.0	1.98
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.03	0.00	5.03	90.0	4.53
11/09/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.27	0.00	4.27	90.0	3.84
11/09/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.22	0.00	1.22	90.0	1.10
11/09/2017	MARKHAM, JASON	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.72	0.00	5.72	90.0	5.15
11/09/2017	BANNICK, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	9.67	0.00	9.67	90.0	8.70
11/09/2017	VIAR, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.58	0.00	5.58	90.0	5.02
11/13/2017	JACK, STANLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	5,824.57	20.00	0.00	20.00	90.0	18.00
11/13/2017	JACK, STANLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	17,840.54	20.00	0.00	20.00	90.0	18.00
11/09/2017	HOPPE, KYLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.47	0.00	1.47	90.0	1.32
11/09/2017	LINDSEY, CHARLES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	90.0	0.60
11/09/2017	MAHER, HENRY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	35.82	0.00	35.82	90.0	32.24
11/09/2017	COLASUONNO, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.08	0.00	12.08	90.0	10.87
11/09/2017	PIASCIK, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	29.63	0.00	29.63	90.0	26.67
11/09/2017	LUJAN, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.63	0.00	10.63	90.0	9.57
11/09/2017	HOLMES, JACK PATRICK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.25	0.00	1.25	90.0	1.13
11/09/2017	QUSSAR, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	6.01	0.00	6.01	90.0	5.41
11/09/2017	KORESKY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.28	0.00	1.28	90.0	1.15
11/09/2017	PAGANO, MAUREEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.15	0.00	10.15	90.0	9.14

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	O'DONNELL, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	8.82	0.00	8.82	90.0	7.94
11/09/2017	O'DONNELL, SHERYL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.42	0.00	4.42	90.0	3.98
11/09/2017	PALMERI, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.94	0.00	2.94	90.0	2.65
11/09/2017	NUNEZ, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	23.70	0.00	23.70	90.0	21.33
11/09/2017	NUNEZ TRUST, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	54.58	0.00	54.58	90.0	49.12
11/09/2017	EBERHARD, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	8.88	0.00	8.88	90.0	7.99
11/09/2017	HOLMES, KAYLA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.36	0.00	1.36	90.0	1.22
11/09/2017	KOTT, DIANE	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	6.08	0.00	6.08	90.0	5.47
11/09/2017	LOUGHLIN, DENNIS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	22.42	0.00	22.42	90.0	20.18
11/09/2017	BANNICK, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	6.79	0.00	6.79	90.0	6.11
11/09/2017	BIONDO, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.91	0.00	7.91	90.0	7.12
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.40	0.00	4.40	90.0	3.96
11/09/2017	MAHER, KEIRA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.10	0.00	1.10	90.0	0.99
11/09/2017	MAHER, MAIGHDLIN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.13	0.00	1.13	90.0	1.02
11/09/2017	JAMES, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.13	0.00	10.13	90.0	9.12
11/09/2017	DARR, CRAIG	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.88	0.00	11.88	90.0	10.69
11/09/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.58	0.00	4.58	90.0	4.12
11/09/2017	VEIT, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.04	0.00	11.04	90.0	9.94
11/09/2017	MARKHAM, JASON	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.54	0.00	7.54	90.0	6.79
11/09/2017	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.76	0.00	4.76	90.0	4.28
11/09/2017	BANNICK, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	8.70	0.00	8.70	90.0	7.83
11/09/2017	MAHER, OWEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.42	0.00	2.42	90.0	2.18
11/09/2017	VIAR, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	0.51	0.00	0.51	90.0	0.46
11/09/2017	QUEDNAU, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	5.26	0.00	5.26	90.0	4.73
11/09/2017	KORESKY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.80	0.00	0.80	90.0	0.72
11/09/2017	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.93	0.00	0.93	90.0	0.84
11/09/2017	VIAR, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.31	0.00	0.31	90.0	0.28
11/09/2017	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.91	0.00	1.91	90.0	1.72
11/09/2017	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.19	0.00	2.19	90.0	1.97
11/09/2017	HEILMANN, MAUREEN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	21.97	0.00	21.97	90.0	19.77
11/09/2017	PROKOP, STANLEY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	202.49	0.00	202.49	90.0	182.24
11/09/2017	HOLMES, JACK PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.29	0.00	5.29	90.0	4.76
11/09/2017	O'DONNELL, SHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.65	0.00	4.65	90.0	4.19

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.98	0.00	0.98	90.0	0.88
11/09/2017	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.38	0.00	13.38	90.0	12.04
11/09/2017	HOLMES, KAYLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.39	0.00	6.39	90.0	5.75
11/09/2017	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.68	0.00	11.68	90.0	10.51
11/09/2017	MAHER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.31	0.00	4.31	90.0	3.88
11/09/2017	MAHER, OWEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.04	0.00	2.04	90.0	1.84
11/03/2017	OLIVER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA C	15,000.00	170.00	0.00	170.00	90.0	153.00
11/09/2017	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	49.09	0.00	49.09	90.0	44.18
11/09/2017	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	6.23	0.00	6.23	90.0	5.61
11/09/2017	GILLESPIE, HEATHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.98	0.00	4.98	90.0	4.48
11/09/2017	COLASUONNO, RALPH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	18.58	0.00	18.58	90.0	16.72
11/09/2017	PIASCIK, SHAWN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	30.31	0.00	30.31	90.0	27.28
11/09/2017	QUSSAR, KELLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.77	0.00	9.77	90.0	8.79
11/09/2017	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	11.54	0.00	11.54	90.0	10.39
11/09/2017	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.34	0.00	4.34	90.0	3.91
11/09/2017	NUNEZ TRUST, LYNDA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	108.55	0.00	108.55	90.0	97.70
11/09/2017	EBERHARD, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.23	0.00	13.23	90.0	11.91
11/09/2017	HENKE, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.76	0.00	13.76	90.0	12.38
11/09/2017	HEILMANN, MAUREEN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.21	0.00	17.21	90.0	15.49
11/09/2017	KESSOR, LAURA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	25.91	0.00	25.91	90.0	23.32
11/09/2017	KOTT, DIANE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.43	0.00	17.43	90.0	15.69
11/09/2017	KOTT, DIANE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.24	0.00	7.24	90.0	6.52
11/09/2017	JACK, STANLEY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.81	0.00	5.81	90.0	5.23
11/09/2017	LOUGHLIN, DENNIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	31.68	0.00	31.68	90.0	28.51
11/09/2017	NORRIS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	94.43	0.00	94.43	90.0	84.99
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.98	0.00	4.98	90.0	4.48
11/09/2017	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.65	0.00	4.65	90.0	4.19
11/09/2017	PLASTIRAS, JULIANA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.84	0.00	13.84	90.0	12.46
11/09/2017	SCACCIA, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.92	0.00	10.92	90.0	9.83
11/09/2017	HICKSON, JORDAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	18.85	0.00	18.85	90.0	16.97
11/09/2017	PALMER, TODD	AM FUNDS GROWTH FUND OF AMERICA C	0.00	27.83	0.00	27.83	90.0	25.05
11/09/2017	BOLUS, ELLA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	36.85	0.00	36.85	90.0	33.17
11/09/2017	DARR, CRAIG	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.11	0.00	14.11	90.0	12.70

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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 FUNDS</u>								
11/09/2017	LUJAN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.08	0.00	15.08	90.0	13.57
11/09/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.73	0.00	9.73	90.0	8.76
11/09/2017	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA C	0.00	11.61	0.00	11.61	90.0	10.45
11/09/2017	HEIDLOFF, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.28	0.00	4.28	90.0	3.85
11/09/2017	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	6.87	0.00	6.87	90.0	6.18
11/09/2017	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.20	0.00	16.20	90.0	14.58
11/09/2017	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.08	0.00	13.08	90.0	11.77
11/13/2017	JACK, STANLEY	AM FUNDS GROWTH FUND OF AMERICA C	6,981.32	20.00	0.00	20.00	90.0	18.00
11/28/2017	EBERHARD, KARIN	AM FUNDS GROWTH FUND OF AMERICA C	25,000.00	250.00	0.00	250.00	90.0	225.00
11/09/2017	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.50	0.00	1.50	90.0	1.35
11/09/2017	FRASER, SHARON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	1.88
11/09/2017	QUEDNAU, KELLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	25.92	0.00	25.92	90.0	23.33
11/09/2017	GUMBLETON, CARRIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.20	0.00	5.20	90.0	4.68
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.28	0.00	4.28	90.0	3.85
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.94	0.00	1.94	90.0	1.75
11/09/2017	MARIN REV TRUST, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.53	0.00	4.53	90.0	4.08
11/09/2017	PIZZO, MICHELE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.98	0.00	0.98	90.0	0.88
11/09/2017	PIZZO, FRANCESCO	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.18	0.00	0.18	90.0	0.16
11/09/2017	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.88	0.00	1.88	90.0	1.69
11/09/2017	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.40	0.00	2.40	90.0	2.16
11/09/2017	KNOPF, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.51	0.00	1.51	90.0	1.36
11/09/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.04	0.00	5.04	90.0	4.54
11/09/2017	CARLINO, AMY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.32	0.00	3.32	90.0	2.99
11/09/2017	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.30	0.00	3.30	90.0	2.97
11/09/2017	VIAR, DAVID	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.07	0.00	3.07	90.0	2.76
11/09/2017	CARROLL, EILEEN	AM FUNDS ICA A	0.00	11.47	0.00	11.47	90.0	10.32
11/09/2017	HOPPE, KYLE	AM FUNDS ICA A	0.00	1.42	0.00	1.42	90.0	1.28
11/09/2017	LINDSEY, CHARLES	AM FUNDS ICA A	0.00	0.86	0.00	0.86	90.0	0.77
11/09/2017	GILLESPIE, HEATHER	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.32	0.00	9.32	90.0	8.39
11/09/2017	STONE, JANE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.48	0.00	7.48	90.0	6.73
11/09/2017	HOPPE, KYLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.52	0.00	1.52	90.0	1.37
11/09/2017	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	22.70	0.00	22.70	90.0	20.43
11/09/2017	DAVIS, ALTON	AM FUNDS INCOME FUND OF AMERICA C	0.00	20.12	0.00	20.12	90.0	18.11

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	PIASCIK, SHAWN	AM FUNDS INCOME FUND OF AMERICA C	0.00	40.24	0.00	40.24	90.0	36.22
11/09/2017	MAHER TRUST, MARY	AM FUNDS INCOME FUND OF AMERICA C	0.00	10.68	0.00	10.68	90.0	9.61
11/09/2017	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	40.69	0.00	40.69	90.0	36.62
11/09/2017	NUNEZ TRUST, LYNDIA	AM FUNDS INCOME FUND OF AMERICA C	0.00	59.91	0.00	59.91	90.0	53.92
11/09/2017	EBERHARD, DAVID	AM FUNDS INCOME FUND OF AMERICA C	0.00	8.40	0.00	8.40	90.0	7.56
11/09/2017	HEILMANN, MAUREEN	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.62	0.00	14.62	90.0	13.16
11/09/2017	PROKOP, STANLEY	AM FUNDS INCOME FUND OF AMERICA C	0.00	166.70	0.00	166.70	90.0	150.03
11/09/2017	BELONGIE, GINGER	AM FUNDS INCOME FUND OF AMERICA C	0.00	16.98	0.00	16.98	90.0	15.28
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.68	0.00	1.68	90.0	1.51
11/09/2017	SIMON, MICHAEL	AM FUNDS INCOME FUND OF AMERICA C	0.00	7.84	0.00	7.84	90.0	7.06
11/09/2017	QUEDNAU, KELLY	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.17	0.00	7.17	90.0	6.45
11/09/2017	GUMBLETON, CARRIE	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	3.64	0.00	3.64	90.0	3.28
11/09/2017	BANNICK, ROBERT	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	1.01	0.00	1.01	90.0	0.91
11/09/2017	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.74	0.00	0.74	90.0	0.67
11/09/2017	KNOPF, DOUGLAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.11	0.00	0.11	90.0	0.10
11/09/2017	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	90.0	0.23
11/09/2017	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.28	0.00	1.28	90.0	1.15
11/09/2017	MAHER, HENRY	AM FUNDS NEW ECONOMY C	0.00	32.43	0.00	32.43	90.0	29.19
11/09/2017	SIMON, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	8.05	0.00	8.05	90.0	7.25
11/09/2017	GILLESPIE, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	9.73	0.00	9.73	90.0	8.76
11/09/2017	HICKSON, ANDREW	AM FUNDS NEW WORLD C	0.00	5.44	0.00	5.44	90.0	4.90
11/09/2017	HOLMES, JACK PATRICK	AM FUNDS SMALLCAP WORLD C	0.00	1.58	0.00	1.58	90.0	1.42
11/09/2017	MAHER, HENRY	AM FUNDS SMALLCAP WORLD C	0.00	17.54	0.00	17.54	90.0	15.79
11/09/2017	HOLMES, KAYLA	AM FUNDS SMALLCAP WORLD C	0.00	1.64	0.00	1.64	90.0	1.48
11/09/2017	HICKSON, ANDREW	AM FUNDS SMALLCAP WORLD C	0.00	3.62	0.00	3.62	90.0	3.26
11/09/2017	MAHER, HENRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.38	0.00	38.38	90.0	34.54
11/09/2017	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.60	0.00	2.60	90.0	2.34
11/09/2017	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.18	0.00	1.18	90.0	1.06
11/28/2017	EBERHARD, KARIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	25,000.00	250.00	0.00	250.00	90.0	225.00
11/09/2017	PIZZO, SALVATORE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.84	0.00	0.84	90.0	0.76
11/09/2017	BANNICK, ROBERT	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.93	0.00	0.93	90.0	0.84
11/09/2017	VIAR, DAVID	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.62	0.00	2.62	90.0	2.36
11/09/2017	HOLMES, KAYLA	BLK BASIC VALUE	0.00	0.95	0.00	0.95	90.0	0.86

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	MAHER, KYLE	BLK BASIC VALUE	0.00	1.70	0.00	1.70	90.0	1.53
11/09/2017	MAHER, HENRY	BLK GLOBAL ALLOCATION A	0.00	12.31	0.00	12.31	90.0	11.08
11/07/2017	MAHER, HENRY	CATALYST MAP GLOBAL CAP APP	0.00	41.05	0.00	41.05	90.0	36.95
11/07/2017	MARSACK, KAREN	CATALYST MAP GLOBAL CAP APP	0.00	20.08	0.00	20.08	90.0	18.07
11/09/2017	HICKSON, ANDREW	COLUMBIA BALANCED FUND CLASS C	0.00	10.29	0.00	10.29	90.0	9.26
11/09/2017	KARAS, MICHAEL	COLUMBIA FDS SER TR II MASS SELECT	0.00	5.14	0.00	5.14	90.0	4.63
11/09/2017	PAGANO, MAUREEN	COLUMBIA FDS SER TR II MASS SELECT	0.00	8.04	0.00	8.04	90.0	7.24
11/09/2017	MAHER, HENRY	COLUMBIA FDS SER TR II MASS SELECT	0.00	43.48	0.00	43.48	90.0	39.13
11/09/2017	JAMES, THOMAS	COLUMBIA FDS SER TR II MASS SELECT	0.00	10.72	0.00	10.72	90.0	9.65
11/09/2017	LUJAN-LABADIE, JENNIFER	COLUMBIA FDS SER TR II MASS SELECT	0.00	7.73	0.00	7.73	90.0	6.96
11/09/2017	PAGANO, MAUREEN	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	7.17	0.00	7.17	90.0	6.45
11/09/2017	NUNEZ TRUST, LYNDIA	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	22.81	0.00	22.81	90.0	20.53
11/09/2017	JAMES, THOMAS	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	9.62	0.00	9.62	90.0	8.66
11/09/2017	DARR, CRAIG	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	10.85	0.00	10.85	90.0	9.77
11/09/2017	NUNEZ TRUST, LYNDIA	COLUMBIA SER TR II MASS	0.00	24.23	0.00	24.23	90.0	21.81
11/24/2017	MOTOR CITY COMPUTER	COLUMBIA SMALLCAP CORE FUND A	15.00	0.15	0.00	0.15	90.0	0.14
11/09/2017	MAHER, HENRY	DAVIS FINANCIAL A	0.00	8.12	0.00	8.12	90.0	7.31
11/10/2017	MAHER, HENRY	DELAWARE CORPORATE BOND A	0.00	11.56	0.00	11.56	90.0	10.40
11/28/2017	EBERHARD, KARIN	DEUTSCHE CORE EQUITY FUND CLASS C	25,000.00	250.00	0.00	250.00	90.0	225.00
11/03/2017	OLIVER, WILLIAM	DEUTSCHE WORLD DIVIDEND FUND-C	15,000.00	170.00	0.00	170.00	90.0	153.00
11/09/2017	MAHER, HENRY	FEDERATED WORLD INVT SER INC INTL B	0.00	6.18	0.00	6.18	90.0	5.56
11/09/2017	MAHER, HENRY	FIRST EAGLE GLOBAL C	0.00	88.61	0.00	88.61	90.0	79.75
11/13/2017	JACK, STANLEY	FRANKLIN CORFOLIO	20,000.00	220.00	0.00	220.00	90.0	198.00
11/09/2017	QUSSAR, JAMES	FRANKLIN GOLD & PRECIOUS METALS C	0.00	2.19	0.00	2.19	90.0	1.97
11/09/2017	BUSSELL, JEFFREY	FRANKLIN GOLD & PRECIOUS METALS C	0.00	1.58	0.00	1.58	90.0	1.42
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN GOLD & PRECIOUS METALS C	0.00	3.52	0.00	3.52	90.0	3.17
11/29/2017	EBERHARD, KARIN	FRANKLIN GROWTH C	25,000.00	250.00	0.00	250.00	90.0	225.00
11/09/2017	HOLMES, JACK PATRICK	FRANKLIN HIGH INCOME C	0.00	0.86	0.00	0.86	90.0	0.77
11/09/2017	MAHER, HENRY	FRANKLIN HIGH INCOME C	0.00	17.26	0.00	17.26	90.0	15.53
11/09/2017	HOLMES, KAYLA	FRANKLIN HIGH INCOME C	0.00	0.69	0.00	0.69	90.0	0.62
11/09/2017	GILLESPIE, HEATHER	FRANKLIN INCOME C	0.00	5.82	0.00	5.82	90.0	5.24
11/09/2017	DAVIS, ALTON	FRANKLIN INCOME C	0.00	6.49	0.00	6.49	90.0	5.84
11/09/2017	COLASUONNO, RALPH	FRANKLIN INCOME C	0.00	9.89	0.00	9.89	90.0	8.90

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	PIASCIK, SHAWN	FRANKLIN INCOME C	0.00	14.36	0.00	14.36	90.0	12.92
11/09/2017	MAES, DEBRA	FRANKLIN INCOME C	0.00	8.17	0.00	8.17	90.0	7.35
11/09/2017	LUJAN, DEBORAH	FRANKLIN INCOME C	0.00	7.02	0.00	7.02	90.0	6.32
11/09/2017	QUSSAR, JAMES	FRANKLIN INCOME C	0.00	5.20	0.00	5.20	90.0	4.68
11/09/2017	DE FIORE, LAWRENCE	FRANKLIN INCOME C	0.00	0.10	0.00	0.10	90.0	0.09
11/09/2017	O'CONNOR, HOLLY	FRANKLIN INCOME C	0.00	3.41	0.00	3.41	90.0	3.07
11/09/2017	O'DONNELL, JUDITH	FRANKLIN INCOME C	0.00	5.88	0.00	5.88	90.0	5.29
11/09/2017	PALMERI, PAUL	FRANKLIN INCOME C	0.00	11.03	0.00	11.03	90.0	9.93
11/09/2017	MAHER, HENRY	FRANKLIN INCOME C	0.00	14.26	0.00	14.26	90.0	12.83
11/09/2017	NUNEZ TRUST, LYNDA	FRANKLIN INCOME C	0.00	76.32	0.00	76.32	90.0	68.69
11/09/2017	EBERHARD, DAVID	FRANKLIN INCOME C	0.00	4.98	0.00	4.98	90.0	4.48
11/09/2017	FAIRLEY, JAMES	FRANKLIN INCOME C	0.00	9.51	0.00	9.51	90.0	8.56
11/09/2017	GUMBLETON, CARRIE	FRANKLIN INCOME C	0.00	9.26	0.00	9.26	90.0	8.33
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN INCOME C	0.00	8.94	0.00	8.94	90.0	8.05
11/09/2017	SCACCIA, KELLY	FRANKLIN INCOME C	0.00	3.14	0.00	3.14	90.0	2.83
11/09/2017	PROKOP, STANLEY	FRANKLIN INCOME C	0.00	103.94	0.00	103.94	90.0	93.55
11/09/2017	KOTT, DIANE	FRANKLIN INCOME C	0.00	7.34	0.00	7.34	90.0	6.61
11/09/2017	PALMERI, BEVERLY	FRANKLIN INCOME C	0.00	7.76	0.00	7.76	90.0	6.98
11/09/2017	JACK, STANLEY	FRANKLIN INCOME C	0.00	6.66	0.00	6.66	90.0	5.99
11/09/2017	MARSHALL, RONALD	FRANKLIN INCOME C	0.00	13.15	0.00	13.15	90.0	11.84
11/09/2017	TAYLOR, JAMIE	FRANKLIN INCOME C	0.00	15.38	0.00	15.38	90.0	13.84
11/09/2017	LOUGHLIN, DENNIS	FRANKLIN INCOME C	0.00	7.15	0.00	7.15	90.0	6.44
11/09/2017	BELONGIE, GINGER	FRANKLIN INCOME C	0.00	6.20	0.00	6.20	90.0	5.58
11/09/2017	STONE, EDWARD	FRANKLIN INCOME C	0.00	7.69	0.00	7.69	90.0	6.92
11/09/2017	NORRIS, CHRISTOPHER	FRANKLIN INCOME C	0.00	11.96	0.00	11.96	90.0	10.76
11/09/2017	SCHWARTZENBERGER, THOMAS	FRANKLIN INCOME C	0.00	1.02	0.00	1.02	90.0	0.92
11/09/2017	MARIN REV TRUST, NICHOLAS	FRANKLIN INCOME C	0.00	12.72	0.00	12.72	90.0	11.45
11/09/2017	PIZZO, REBECCA	FRANKLIN INCOME C	0.00	3.06	0.00	3.06	90.0	2.75
11/09/2017	HOPPE, KYLE	FRANKLIN INCOME C	0.00	8.31	0.00	8.31	90.0	7.48
11/09/2017	BJERK JR, JOHN	FRANKLIN INCOME C	0.00	6.28	0.00	6.28	90.0	5.65
11/09/2017	MAES, DEBRA	FRANKLIN INCOME C	0.00	10.98	0.00	10.98	90.0	9.88
11/09/2017	HICKSON, JORDAN	FRANKLIN INCOME C	0.00	10.11	0.00	10.11	90.0	9.10
11/09/2017	PALMER, TODD	FRANKLIN INCOME C	0.00	16.69	0.00	16.69	90.0	15.02

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	WHEELER, WILLARD	FRANKLIN INCOME C	0.00	21.34	0.00	21.34	90.0	19.21
11/09/2017	ALLEN, MARY	FRANKLIN INCOME C	0.00	6.64	0.00	6.64	90.0	5.98
11/09/2017	JAMES, THOMAS	FRANKLIN INCOME C	0.00	6.35	0.00	6.35	90.0	5.72
11/09/2017	DILAY, DENISE	FRANKLIN INCOME C	0.00	7.86	0.00	7.86	90.0	7.07
11/09/2017	DARR, CRAIG	FRANKLIN INCOME C	0.00	7.14	0.00	7.14	90.0	6.43
11/09/2017	MARKHAM, JASON	FRANKLIN INCOME C	0.00	4.63	0.00	4.63	90.0	4.17
11/09/2017	BANNICK, ROBERT	FRANKLIN INCOME C	0.00	2.25	0.00	2.25	90.0	2.03
11/09/2017	PAGANO, MAUREEN	FRANKLIN INCOME C	0.00	4.75	0.00	4.75	90.0	4.28
11/09/2017	NORRIS, CHRISTOPHER	FRANKLIN MI TAX FR INCOME C	0.00	33.31	0.00	33.31	90.0	29.98
11/20/2017	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY A	16.96	0.47	0.00	0.47	90.0	0.42
11/20/2017	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY A	78.26	2.19	0.00	2.19	90.0	1.97
11/09/2017	NORRIS, CHRISTOPHER	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	30.31	0.00	30.31	90.0	27.28
11/09/2017	EBERHARD, DAVID	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	10.91	0.00	10.91	90.0	9.82
11/09/2017	COLASUONNO, RALPH	FRANKLIN NATURAL RESOURCES C	0.00	5.36	0.00	5.36	90.0	4.82
11/09/2017	PALMERI, DANIEL	FRANKLIN NATURAL RESOURCES C	0.00	1.18	0.00	1.18	90.0	1.06
11/09/2017	GUMBLETON, CARRIE	FRANKLIN NATURAL RESOURCES C	0.00	5.41	0.00	5.41	90.0	4.87
11/09/2017	MARKHAM, JASON	FRANKLIN NATURAL RESOURCES C	0.00	4.05	0.00	4.05	90.0	3.65
11/09/2017	MARINI, ZAREFA	FRANKLIN RISING DIVIDENDS A	0.00	0.28	0.00	0.28	90.0	0.25
11/09/2017	HEILMANN, MAUREEN	FRANKLIN RISING DIVIDENDS A	0.00	1.42	0.00	1.42	90.0	1.28
11/09/2017	MAHER, KEIRA	FRANKLIN RISING DIVIDENDS A	0.00	1.48	0.00	1.48	90.0	1.33
11/09/2017	MAHER, MAIGHDLIN	FRANKLIN RISING DIVIDENDS A	0.00	2.47	0.00	2.47	90.0	2.22
11/01/2017	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	6,800.00	68.00	0.00	68.00	90.0	61.20
11/01/2017	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	4,500.00	45.00	0.00	45.00	90.0	40.50
11/03/2017	OLIVER, WILLIAM	FRANKLIN RISING DIVIDENDS C	18,000.00	200.00	0.00	200.00	90.0	180.00
11/09/2017	JACK, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	0.18	0.00	0.18	90.0	0.16
11/09/2017	FRASER, SHARON	FRANKLIN RISING DIVIDENDS C	0.00	25.46	0.00	25.46	90.0	22.91
11/09/2017	DAVIS, ALTON	FRANKLIN RISING DIVIDENDS C	0.00	21.58	0.00	21.58	90.0	19.42
11/09/2017	COLASUONNO, RALPH	FRANKLIN RISING DIVIDENDS C	0.00	25.42	0.00	25.42	90.0	22.88
11/09/2017	MAES, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	15.11	0.00	15.11	90.0	13.60
11/09/2017	LUJAN, DEBORAH	FRANKLIN RISING DIVIDENDS C	0.00	23.76	0.00	23.76	90.0	21.38
11/09/2017	HOLMES, JACK PATRICK	FRANKLIN RISING DIVIDENDS C	0.00	1.91	0.00	1.91	90.0	1.72
11/09/2017	QUSSAR, JAMES	FRANKLIN RISING DIVIDENDS C	0.00	4.43	0.00	4.43	90.0	3.99
11/09/2017	STOKES, RICHARD	FRANKLIN RISING DIVIDENDS C	0.00	4.47	0.00	4.47	90.0	4.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	MAHER TRUST, MARY	FRANKLIN RISING DIVIDENDS C	0.00	30.01	0.00	30.01	90.0	27.01
11/09/2017	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	0.04	0.00	0.04	90.0	0.04
11/09/2017	SCHOOLEY, MEGHAN	FRANKLIN RISING DIVIDENDS C	0.00	0.03	0.00	0.03	90.0	0.03
11/09/2017	DE FIORE, LAWRENCE	FRANKLIN RISING DIVIDENDS C	0.00	0.02	0.00	0.02	90.0	0.02
11/09/2017	ZETTEL, ANTHONY	FRANKLIN RISING DIVIDENDS C	0.00	0.04	0.00	0.04	90.0	0.04
11/09/2017	O'CONNOR, HOLLY	FRANKLIN RISING DIVIDENDS C	0.00	7.49	0.00	7.49	90.0	6.74
11/09/2017	O'DONNELL, JUDITH	FRANKLIN RISING DIVIDENDS C	0.00	8.19	0.00	8.19	90.0	7.37
11/09/2017	PALMERI, DANIEL	FRANKLIN RISING DIVIDENDS C	0.00	1.56	0.00	1.56	90.0	1.40
11/09/2017	BUSSELL, JEFFREY	FRANKLIN RISING DIVIDENDS C	0.00	2.42	0.00	2.42	90.0	2.18
11/09/2017	PALMERI, PAUL	FRANKLIN RISING DIVIDENDS C	0.00	10.41	0.00	10.41	90.0	9.37
11/09/2017	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	8.68	0.00	8.68	90.0	7.81
11/09/2017	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	60.88	0.00	60.88	90.0	54.79
11/09/2017	NUNEZ TRUST, LYNDA	FRANKLIN RISING DIVIDENDS C	0.00	43.06	0.00	43.06	90.0	38.75
11/09/2017	EBERHARD, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	6.98	0.00	6.98	90.0	6.28
11/09/2017	BEDARD, MARY	FRANKLIN RISING DIVIDENDS C	0.00	11.04	0.00	11.04	90.0	9.94
11/09/2017	SCACCIA, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	13.51	0.00	13.51	90.0	12.16
11/09/2017	HENKE, FRANK	FRANKLIN RISING DIVIDENDS C	0.00	14.59	0.00	14.59	90.0	13.13
11/09/2017	KESSOR, LAURA	FRANKLIN RISING DIVIDENDS C	0.00	24.50	0.00	24.50	90.0	22.05
11/09/2017	POUPORE, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	19.54	0.00	19.54	90.0	17.59
11/09/2017	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	24.79	0.00	24.79	90.0	22.31
11/09/2017	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	11.10	0.00	11.10	90.0	9.99
11/09/2017	PALMERI, SAMUEL	FRANKLIN RISING DIVIDENDS C	0.00	16.08	0.00	16.08	90.0	14.47
11/09/2017	PALMERI, BEVERLY	FRANKLIN RISING DIVIDENDS C	0.00	17.57	0.00	17.57	90.0	15.81
11/09/2017	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	26.32	0.00	26.32	90.0	23.69
11/09/2017	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	1.05	0.00	1.05	90.0	0.95
11/09/2017	LOUGHLIN, DENNIS	FRANKLIN RISING DIVIDENDS C	0.00	23.12	0.00	23.12	90.0	20.81
11/09/2017	STONE, JANE	FRANKLIN RISING DIVIDENDS C	0.00	6.66	0.00	6.66	90.0	5.99
11/09/2017	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	13.16	0.00	13.16	90.0	11.84
11/09/2017	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	6.41	0.00	6.41	90.0	5.77
11/09/2017	SCHWARTZENBERGER, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	16.00	0.00	16.00	90.0	14.40
11/09/2017	MARIN REV TRUST, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	59.34	0.00	59.34	90.0	53.41
11/09/2017	PIZZO, PIETRO	FRANKLIN RISING DIVIDENDS C	0.00	2.85	0.00	2.85	90.0	2.57
11/09/2017	PIZZO, REBECCA	FRANKLIN RISING DIVIDENDS C	0.00	7.70	0.00	7.70	90.0	6.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	5.28	0.00	5.28	90.0	4.75
11/09/2017	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	2.52	0.00	2.52	90.0	2.27
11/09/2017	FOSTER SP TRUST, PATRICIA	FRANKLIN RISING DIVIDENDS C	0.00	18.86	0.00	18.86	90.0	16.97
11/09/2017	KNOPF, KATHRYN	FRANKLIN RISING DIVIDENDS C	0.00	4.96	0.00	4.96	90.0	4.46
11/09/2017	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	11.73	0.00	11.73	90.0	10.56
11/09/2017	BUREK, CANDACE	FRANKLIN RISING DIVIDENDS C	0.00	7.09	0.00	7.09	90.0	6.38
11/09/2017	FLEURY, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	3.11	0.00	3.11	90.0	2.80
11/09/2017	HOPPE, KYLE	FRANKLIN RISING DIVIDENDS C	0.00	15.13	0.00	15.13	90.0	13.62
11/09/2017	BJERK JR, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	10.57	0.00	10.57	90.0	9.51
11/09/2017	PLASTIRAS, JULIANA	FRANKLIN RISING DIVIDENDS C	0.00	13.21	0.00	13.21	90.0	11.89
11/09/2017	MARKHAM, ELIZABETH	FRANKLIN RISING DIVIDENDS C	0.00	5.85	0.00	5.85	90.0	5.27
11/09/2017	BALDWIN, JASON	FRANKLIN RISING DIVIDENDS C	0.00	8.29	0.00	8.29	90.0	7.46
11/09/2017	HICKSON, MARK	FRANKLIN RISING DIVIDENDS C	0.00	33.89	0.00	33.89	90.0	30.50
11/09/2017	BUREK, ROSANNE	FRANKLIN RISING DIVIDENDS C	0.00	21.93	0.00	21.93	90.0	19.74
11/09/2017	PALMER, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	10.93	0.00	10.93	90.0	9.84
11/09/2017	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	28.20	0.00	28.20	90.0	25.38
11/09/2017	RUSSO, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	14.50	0.00	14.50	90.0	13.05
11/09/2017	BOLUS, ELLA	FRANKLIN RISING DIVIDENDS C	0.00	36.87	0.00	36.87	90.0	33.18
11/09/2017	RUSSO, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	14.28	0.00	14.28	90.0	12.85
11/09/2017	ALLEN, MARY	FRANKLIN RISING DIVIDENDS C	0.00	11.80	0.00	11.80	90.0	10.62
11/09/2017	JAMES, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	11.57	0.00	11.57	90.0	10.41
11/09/2017	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	7.29	0.00	7.29	90.0	6.56
11/09/2017	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	12.15	0.00	12.15	90.0	10.94
11/09/2017	MCCRACKEN, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	9.88	0.00	9.88	90.0	8.89
11/09/2017	DILAY, DENISE	FRANKLIN RISING DIVIDENDS C	0.00	14.32	0.00	14.32	90.0	12.89
11/09/2017	LINDSEY, BARBARA	FRANKLIN RISING DIVIDENDS C	0.00	11.81	0.00	11.81	90.0	10.63
11/09/2017	CORNWELL, VICTORIA	FRANKLIN RISING DIVIDENDS C	0.00	11.30	0.00	11.30	90.0	10.17
11/09/2017	DARR, CRAIG	FRANKLIN RISING DIVIDENDS C	0.00	15.79	0.00	15.79	90.0	14.21
11/09/2017	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	7.66	0.00	7.66	90.0	6.89
11/09/2017	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	29.54	0.00	29.54	90.0	26.59
11/09/2017	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	9.55	0.00	9.55	90.0	8.60
11/09/2017	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	0.00	14.88	0.00	14.88	90.0	13.39
11/09/2017	HEIDLOFF, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	4.55	0.00	4.55	90.0	4.10

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
11/09/2017	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	17.64	0.00	17.64	90.0	15.88
11/09/2017	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	26.78	0.00	26.78	90.0	24.10
11/09/2017	SIMON, MICHAEL	FRANKLIN RISING DIVIDENDS C	0.00	20.35	0.00	20.35	90.0	18.32
11/09/2017	SIMON, MICHAEL	FRANKLIN RISING DIVIDENDS C	0.00	9.91	0.00	9.91	90.0	8.92
11/09/2017	PAGANO, MAUREEN	FRANKLIN RISING DIVIDENDS C	0.00	8.63	0.00	8.63	90.0	7.77
11/09/2017	MAHER, OWEN	FRANKLIN RISING DIVIDENDS C	0.00	5.59	0.00	5.59	90.0	5.03
11/13/2017	JACK, STANLEY	FRANKLIN RISING DIVIDENDS C	20,000.00	220.00	0.00	220.00	90.0	198.00
11/21/2017	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	9,000.00	110.00	0.00	110.00	90.0	99.00
11/21/2017	KUECKEN-PROTECTED, DANIEL	FRANKLIN RISING DIVIDENDS C	25,000.00	270.00	0.00	270.00	90.0	243.00
11/28/2017	EBERHARD, KARIN	FRANKLIN RISING DIVIDENDS C	25,000.00	270.00	0.00	270.00	90.0	243.00
11/09/2017	PAGANO, MAUREEN	FRANKLIN SMALL CAP VALUE C	0.00	5.26	0.00	5.26	90.0	4.73
11/09/2017	PROKOP, STANLEY	FRANKLIN STRATEGIC INCOME C	0.00	80.19	0.00	80.19	90.0	72.17
11/09/2017	DAVIS, ALTON	FRANKLIN UTILITIES C	0.00	13.22	0.00	13.22	90.0	11.90
11/09/2017	MAHER, HENRY	FRANKLIN UTILITIES C	0.00	22.94	0.00	22.94	90.0	20.65
11/09/2017	O'CONNOR, AARON	FRANKLIN UTILITIES C	0.00	4.07	0.00	4.07	90.0	3.66
11/09/2017	PAGANO, MAUREEN	FRANKLIN UTILITIES C	0.00	3.96	0.00	3.96	90.0	3.56
11/09/2017	ZANONI, CARRIE	FT FOUNDING FDS ALLOC C	0.00	5.67	0.00	5.67	90.0	5.10
11/09/2017	GLINES, DAVID	FT FOUNDING FDS ALLOC C	0.00	3.05	0.00	3.05	90.0	2.75
11/09/2017	GLINES, WILBERT	FT FOUNDING FDS ALLOC C	0.00	8.55	0.00	8.55	90.0	7.70
11/20/2017	DE FIORE, LAWRENCE	FT FOUNDING FUNDS ALLOC A	79.16	2.22	0.00	2.22	90.0	2.00
11/20/2017	DE FIORE, LAWRENCE	FT FOUNDING FUNDS ALLOC A	365.20	10.23	0.00	10.23	90.0	9.21
11/20/2017	DE FIORE, LAWRENCE	FT MUTUAL BEACON FUND A	78.26	2.19	0.00	2.19	90.0	1.97
11/20/2017	DE FIORE, LAWRENCE	FT MUTUAL BEACON FUND A	16.96	0.47	0.00	0.47	90.0	0.42
11/09/2017	HOLMES, JACK PATRICK	IVY ASSET STRATEGY FUND CLASS A	0.00	0.35	0.00	0.35	90.0	0.32
11/09/2017	MAHER, HENRY	IVY ASSET STRATEGY FUND CLASS A	0.00	4.25	0.00	4.25	90.0	3.83
11/09/2017	HOLMES, KAYLA	IVY ASSET STRATEGY FUND CLASS A	0.00	0.30	0.00	0.30	90.0	0.27
11/09/2017	MAHER, MAIGHDLIN	IVY ASSET STRATEGY FUND CLASS A	0.00	0.29	0.00	0.29	90.0	0.26
11/09/2017	MAHER, HENRY	IVY FDS INC ASSET STRATEGY FD CL B	0.00	2.68	0.00	2.68	90.0	2.41
11/09/2017	MAHER, OWEN	LORD ABBETT AFFILIATED A	0.00	1.43	0.00	1.43	90.0	1.29
11/09/2017	KORESKEY, JOHN	LORD ABBETT EQUITY TR CALIBRTD LARG	0.00	29.95	0.00	29.95	90.0	26.96
11/09/2017	HOLMES, KAYLA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	1.51	0.00	1.51	90.0	1.36
11/09/2017	NORRIS, CHRISTOPHER	LORD ABBETT INCOME FUND CL C	0.00	22.64	0.00	22.64	90.0	20.38
11/09/2017	BUSSELL, JEFFREY	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	6.69	0.00	6.69	90.0	6.02

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/09/2017	MARIN REV TRUST, NICHOLAS	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	23.45	0.00	23.45	90.0	21.11
11/09/2017	MAHER, HENRY	MAINSTAY MAP A	0.00	14.75	0.00	14.75	90.0	13.28
11/09/2017	HOLMES, JACK PATRICK	MFS RESEARCH INTL A	0.00	0.23	0.00	0.23	90.0	0.21
11/09/2017	HOLMES, JACK PATRICK	MFS SER TR I RESEARCH INTL FD CL B	0.00	0.34	0.00	0.34	90.0	0.31
11/09/2017	HOLMES, JACK PATRICK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.40	0.00	0.40	90.0	0.36
10/31/2017	BUREK, ROSANNE	OPPENHEIMER ROCHESTER NATIONAL MUNI	4,000.00	20.00	0.00	20.00	90.0	18.00
11/09/2017	BUREK, ROSANNE	OPPENHEIMER ROCHESTER NATIONAL MUNI	0.00	2.67	0.00	2.67	90.0	2.40
10/31/2017	BUREK, ROSANNE	PIMCO STOCKPLUS TOTAL RETURN A	19,544.88	20.00	0.00	20.00	90.0	18.00
11/09/2017	MAHER, HENRY	PIONEER MID CAP VALUE A	0.00	8.36	0.00	8.36	90.0	7.52
11/09/2017	GILLESPIE, HEATHER	ROYCE PENNSYLVANIA MUTUAL	0.00	18.12	0.00	18.12	90.0	16.31
11/09/2017	MARINI, ZAREFA	TEMPLETON DEVELOPING MKTS A	0.00	0.08	0.00	0.08	90.0	0.07
11/09/2017	PIASCIK, SHAWN	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	29.59	0.00	29.59	90.0	26.63
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	24.75	0.00	24.75	90.0	22.28
11/09/2017	PALMERI, PAUL	TEMPLETON GLOBAL BOND A	0.00	1.97	0.00	1.97	90.0	1.77
11/09/2017	QUSSAR, KELLY	TEMPLETON GLOBAL BOND C	0.00	3.22	0.00	3.22	90.0	2.90
11/09/2017	NUNEZ TRUST, LYNDA	TEMPLETON GLOBAL BOND C	0.00	6.30	0.00	6.30	90.0	5.67
11/09/2017	EBERHARD, DAVID	TEMPLETON GLOBAL BOND C	0.00	7.16	0.00	7.16	90.0	6.44
11/09/2017	GUMBLETON, CARRIE	TEMPLETON GLOBAL BOND C	0.00	5.74	0.00	5.74	90.0	5.17
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON GLOBAL BOND C	0.00	16.06	0.00	16.06	90.0	14.45
11/09/2017	SCHWARTZENBERGER, THOMAS	TEMPLETON GLOBAL BOND C	0.00	1.49	0.00	1.49	90.0	1.34
11/09/2017	MARIN REV TRUST, NICHOLAS	TEMPLETON GLOBAL BOND C	0.00	11.92	0.00	11.92	90.0	10.73
11/09/2017	BANNICK, ROBERT	TEMPLETON GLOBAL BOND C	0.00	6.11	0.00	6.11	90.0	5.50
11/09/2017	ZANONI, CARRIE	TEMPLETON GROWTH C	0.00	5.16	0.00	5.16	90.0	4.64
11/09/2017	GUMBLETON, CARRIE	TEMPLETON GROWTH C	0.00	12.30	0.00	12.30	90.0	11.07
11/09/2017	BANNICK, ROBERT	TEMPLETON GROWTH C	0.00	1.82	0.00	1.82	90.0	1.64
11/09/2017	SCHWARTZENBERGER, THOMAS	TEMPLETON GROWTH C	0.00	2.42	0.00	2.42	90.0	2.18
11/09/2017	PIZZO, SALVATORE	TEMPLETON GROWTH C	0.00	5.37	0.00	5.37	90.0	4.83
11/09/2017	MARKHAM, JASON	TEMPLETON GROWTH C	0.00	10.14	0.00	10.14	90.0	9.13
11/09/2017	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	13.44	0.00	13.44	90.0	12.10
11/09/2017	SIMON, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	9.04	0.00	9.04	90.0	8.14
11/09/2017	PIASCIK, SHAWN	TRANSAMERICA AA MOD GROWTH C	0.00	38.66	0.00	38.66	90.0	34.79
11/09/2017	GUMBLETON, CARRIE	TRANSAMERICA AA MOD GROWTH C	0.00	17.00	0.00	17.00	90.0	15.30
11/09/2017	JACK, STANLEY	TRANSAMERICA AA MOD GROWTH C	0.00	6.05	0.00	6.05	90.0	5.45

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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 FUNDS</u>								
11/09/2017	LOUGHLIN, DENNIS	TRANSAMERICA AA MOD GROWTH C	0.00	13.61	0.00	13.61	90.0	12.25
11/13/2017	JACK, STANLEY	TRANSAMERICA AA MOD GROWTH C	7,534.07	20.00	23.00	-3.00	90.0	-2.70
11/08/2017	MARSACK, KAREN	TRANSAMERICA AA MODERATE C	8,366.70	20.00	23.00	-3.00	90.0	-2.70
11/09/2017	O'DONNELL, JUDITH	TRANSAMERICA AA MODERATE C	0.00	8.38	0.00	8.38	90.0	7.54
11/09/2017	BELONGIE, GINGER	TRANSAMERICA AA MODERATE C	0.00	11.64	0.00	11.64	90.0	10.48
11/09/2017	MARSACK, KAREN	TRANSAMERICA AA MODERATE C	0.00	6.50	0.00	6.50	90.0	5.85
11/09/2017	PIZZO, PIETRO	TRANSAMERICA AA MODERATE C	0.00	8.37	0.00	8.37	90.0	7.53
11/09/2017	PIZZO, MICHELE	TRANSAMERICA AA MODERATE C	0.00	0.12	0.00	0.12	90.0	0.11
11/09/2017	PIZZO, FRANCESCO	TRANSAMERICA AA MODERATE C	0.00	8.59	0.00	8.59	90.0	7.73
11/09/2017	BANNICK, ROBERT	TRANSAMERICA AA MODERATE C	0.00	8.01	0.00	8.01	90.0	7.21
11/09/2017	ROGERS, NICOLE	VOYA CORP LEADERS 100 A	0.00	2.62	0.00	2.62	90.0	2.36
11/09/2017	MAHER, HENRY	VOYA INTL VALUE EQUITY A	0.00	10.64	0.00	10.64	90.0	9.58
* MUTUAL FUNDS SUBTOTAL *			\$363,641.88	\$8,629.04	\$46.00	\$8,583.04		\$7,725.00
<u>PRODUCT CATEGORY: STOCKS</u>								
11/27/2017	MAHER, JAMES	TESLA MTRS INC COM	10,850.00	0.00	22.00	-22.00	90.0	-19.80
* STOCKS SUBTOTAL *			\$10,850.00	\$0.00	\$22.00	\$-22.00		\$-19.80
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/04/2017	ATTENDANT CARE, 401K	GWL GRP ANNUITY 401K	215,763.53	0.00	0.00	0.00	90.0	0.00
12/04/2017	RACHWAL, BARTON	GWL GRP ANNUITY 401K	375,988.76	0.00	0.00	0.00	90.0	0.00
12/04/2017	ATTENDANT CARE, 401K	GWL GRP ANNUITY 401K	215,763.53	133.00	0.00	133.00	90.0	119.70
12/04/2017	RACHWAL, BARTON	GWL GRP ANNUITY 401K	375,988.76	154.52	0.00	154.52	90.0	139.07
12/04/2017	GURSTEN, KOLTONOW	GWL NET ASSET VALUE 401K	7,720,947.75	0.00	0.00	0.00	90.0	0.00
12/04/2017	CHRISTENSEN PLLC, DAVID	GWL NET ASSET VALUE 401K	447,193.99	0.00	0.00	0.00	90.0	0.00
12/04/2017	RACHWAL PC, BARTEN	GWL NET ASSET VALUE 401K	99,929.40	0.00	0.00	0.00	90.0	0.00
12/04/2017	GURSTEN, KOLTONOW	GWL NET ASSET VALUE 401K	7,720,947.75	1,586.50	0.00	1,586.50	90.0	1,427.85
12/04/2017	CHRISTENSEN PLLC, DAVID	GWL NET ASSET VALUE 401K	447,193.99	183.78	0.00	183.78	90.0	165.40
12/04/2017	RACHWAL PC, BARTEN	GWL NET ASSET VALUE 401K	99,929.40	20.53	0.00	20.53	90.0	18.48
11/30/2017	CARROLL, EILEEN	JNL ELITE ACCESS W/ LIQUIDITY	35,402.84	29.50	0.00	29.50	90.0	26.55
11/30/2017	NUNEZ, LYNDA	JNL ELITE ACCESS W/ LIQUIDITY	122,070.08	101.73	0.00	101.73	90.0	91.56
11/30/2017	CARROLL, JEROME	JNL PERSPECTIVE II 04/14	67,824.27	14.13	0.00	14.13	90.0	12.72
11/30/2017	TREVINO, PATRICIA	JNL PERSPECTIVE II 04/14	57,516.58	11.98	0.00	11.98	90.0	10.78
11/30/2017	RACHWAL, BARTON	JNL PERSPECTIVE II 05/05	182,884.97	38.10	0.00	38.10	90.0	34.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	MAHER, HENRY	JNL PERSPECTIVE II 05/05	106,846.62	44.52	0.00	44.52	90.0	40.07
11/30/2017	HICKSON, ANDREW	JNL PERSPECTIVE II 05/05	49,323.02	20.55	0.00	20.55	90.0	18.50
11/30/2017	VEIT, BEVERLY	JNL PERSPECTIVE L	19,695.22	16.41	0.00	16.41	90.0	14.77
11/30/2017	PALMERI, BEVERLY	JNL PERSPECTIVE L	102,283.78	85.24	0.00	85.24	90.0	76.72
11/30/2017	FRASER, SHARON	JNL PERSPECTIVE L	43,532.12	36.28	0.00	36.28	90.0	32.65
11/30/2017	TAYLOR, JAMIE	JNL PERSPECTIVE L	45,882.72	38.24	0.00	38.24	90.0	34.42
11/30/2017	FLOWERS, EDWARD	JNL PERSPECTIVE L	151,452.48	126.21	0.00	126.21	90.0	113.59
11/30/2017	STOKES, RICHARD	JNL PERSPECTIVE L	83,289.55	69.41	0.00	69.41	90.0	62.47
11/30/2017	STONE, EDWARD	JNL PERSPECTIVE L	91,963.31	76.64	0.00	76.64	90.0	68.98
11/30/2017	PALMERI, SAMUEL	JNL PERSPECTIVE L	107,293.45	89.41	0.00	89.41	90.0	80.47
11/30/2017	STEINMETZ JR, JAMES	JNL PERSPECTIVE L	112,321.28	93.60	0.00	93.60	90.0	84.24
11/30/2017	VITALE, PETER	JNL PERSPECTIVE L	142,326.49	118.61	0.00	118.61	90.0	106.75
11/30/2017	BROEREN, ANTHONY	JNL PERSPECTIVE L	193,024.45	160.85	0.00	160.85	90.0	144.77
11/30/2017	KRALIK, GEORGEANNA	JNL PERSPECTIVE L	116,818.10	97.35	0.00	97.35	90.0	87.62
11/30/2017	CORNWELL, VICTORIA	JNL PERSPECTIVE L	210,795.87	175.66	0.00	175.66	90.0	158.09
11/30/2017	KRETZ, JAMES	JNL PERSPECTIVE L	62,463.47	52.05	0.00	52.05	90.0	46.85
* VARIABLE ANNUITIES SUBTOTAL *			\$19,824,657.53	\$3,574.80	\$0.00	\$3,574.80		\$3,217.36

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/01/2017	O'CONNOR, AARON	AM FUNDS AMCAP 529C	0.00	10.39	0.00	10.39	90.0	9.35
12/01/2017	O'CONNOR, AARON	AM FUNDS AMCAP 529C	0.00	10.39	0.00	10.39	90.0	9.35
12/01/2017	WALSH, KIMBERLY	AM FUNDS AMERICAN BALANCED C	0.00	0.07	0.00	0.07	90.0	0.06
12/01/2017	KALLEBERG, JUSTIN	AM FUNDS AMERICAN BALANCED C	0.00	3.12	0.00	3.12	90.0	2.81
12/01/2017	UNTIL AGE 18, MI/UTMA	AM FUNDS AMERICAN BALANCED C	0.00	4.32	0.00	4.32	90.0	3.89
12/01/2017	UNTIL AGE 18, MI/UTMA	AM FUNDS AMERICAN BALANCED C	0.00	4.32	0.00	4.32	90.0	3.89
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS AMERICAN MUTUAL A	0.00	10.97	0.00	10.97	90.0	9.87
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	4.71	0.00	4.71	90.0	4.24
12/01/2017	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.88	0.00	6.88	90.0	6.19
12/01/2017	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.88	0.00	6.88	90.0	6.19
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.60	0.00	19.60	90.0	17.64
12/01/2017	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	22.80	0.00	22.80	90.0	20.52
12/01/2017	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	22.80	0.00	22.80	90.0	20.52
12/01/2017	HOLMES, KAYLA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	11.89	0.00	11.89	90.0	10.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	PALMER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	21.88	0.00	21.88	90.0	19.69
12/01/2017	MARSHALL, DEMETRIA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	14.62	0.00	14.62	90.0	13.16
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.67	0.00	5.67	90.0	5.10
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.67	0.00	5.67	90.0	5.10
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	22.99	0.00	22.99	90.0	20.69
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	20.52	0.00	20.52	90.0	18.47
12/01/2017	HICKSON, MARK	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.09	0.00	19.09	90.0	17.18
12/01/2017	PEVOS, DEBRA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.49	0.00	1.49	90.0	1.34
12/01/2017	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.02	0.00	19.02	90.0	17.12
12/01/2017	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.02	0.00	19.02	90.0	17.12
12/01/2017	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	MARKHAM, CLAIRE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.35	0.00	5.35	90.0	4.82
12/01/2017	MAHER, HENRY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	4.25	0.00	4.25	90.0	3.83
12/01/2017	JACK, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	PALMERI, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	90.0	1.39
12/01/2017	WALSH, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.25	0.00	2.25	90.0	2.03
12/01/2017	KALLEBERG, JUSTIN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.05	0.00	3.05	90.0	2.75
12/01/2017	UNTIL AGE 18, MI/UTMA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	4.19	0.00	4.19	90.0	3.77
12/01/2017	UNTIL AGE 18, MI/UTMA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	4.19	0.00	4.19	90.0	3.77
12/01/2017	WALSH, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	KALLEBERG, JUSTIN	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	26.08	0.00	26.08	90.0	23.47
12/01/2017	CARLINO, GIANNI	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.94	0.00	20.94	90.0	18.85
12/01/2017	CARLINO, GIANNI	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.94	0.00	20.94	90.0	18.85
12/01/2017	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.14	0.00	3.14	90.0	2.83
12/01/2017	MARSHALL, DEMETRIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	16.14	0.00	16.14	90.0	14.53
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.06	0.00	6.06	90.0	5.45
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.06	0.00	6.06	90.0	5.45
12/01/2017	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.24	0.00	9.24	90.0	8.32
12/01/2017	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.24	0.00	9.24	90.0	8.32
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	31.31	0.00	31.31	90.0	28.18

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	23.49	0.00	23.49	90.0	21.14
12/01/2017	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.93	0.00	3.93	90.0	3.54
12/01/2017	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.93	0.00	3.93	90.0	3.54
12/01/2017	SIMON, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.46	0.00	20.46	90.0	18.41
12/01/2017	SIMON, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.46	0.00	20.46	90.0	18.41
12/01/2017	PALMERI, MARIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	90.0	1.22
12/01/2017	WALSH, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.30	0.00	2.30	90.0	2.07
12/01/2017	WALSH, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	KALLEBERG, JUSTIN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	CARLINO, GIANNI	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	19.14	0.00	19.14	90.0	17.23
12/01/2017	CARLINO, GIANNI	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	19.14	0.00	19.14	90.0	17.23
12/01/2017	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.06	0.00	3.06	90.0	2.75
12/01/2017	PALMER, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	23.29	0.00	23.29	90.0	20.96
12/01/2017	LUJAN, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	12.20	0.00	12.20	90.0	10.98
12/01/2017	MARSHALL, DEMETRIA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	13.93	0.00	13.93	90.0	12.54
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	5.36	0.00	5.36	90.0	4.82
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	5.36	0.00	5.36	90.0	4.82
12/01/2017	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	8.71	0.00	8.71	90.0	7.84
12/01/2017	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	8.71	0.00	8.71	90.0	7.84
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	HICKSON, MARK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	20.09	0.00	20.09	90.0	18.08
12/01/2017	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	20.73	0.00	20.73	90.0	18.66
12/01/2017	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	20.73	0.00	20.73	90.0	18.66
12/01/2017	MAHER, HENRY	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	4.71	0.00	4.71	90.0	4.24
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.79	0.00	2.79	90.0	2.51
12/01/2017	WALSH, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.06	0.00	2.06	90.0	1.85
12/01/2017	WALSH, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	MOTOR CITY COMPUTER	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	124.02	0.00	124.02	90.0	111.62
12/01/2017	LINDSEY, CHARLES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.35	0.00	12.35	90.0	11.12

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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>								
12/01/2017	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.35	0.00	12.35	90.0	11.12
12/01/2017	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	31.87	0.00	31.87	90.0	28.68
12/01/2017	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	34.03	0.00	34.03	90.0	30.63
12/01/2017	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	34.03	0.00	34.03	90.0	30.63
12/01/2017	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.57	0.00	3.57	90.0	3.21
12/01/2017	LUJAN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	17.25	0.00	17.25	90.0	15.53
12/01/2017	MARSHALL, DEMETRIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	21.65	0.00	21.65	90.0	19.49
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	37.42	0.00	37.42	90.0	33.68
12/01/2017	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	37.42	0.00	37.42	90.0	33.68
12/01/2017	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.10	0.00	11.10	90.0	9.99
12/01/2017	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.10	0.00	11.10	90.0	9.99
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.67	0.00	2.67	90.0	2.40
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.67	0.00	2.67	90.0	2.40
12/01/2017	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	32.31	0.00	32.31	90.0	29.08
12/01/2017	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	28.70	0.00	28.70	90.0	25.83
12/01/2017	HICKSON, MARK	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	21.95	0.00	21.95	90.0	19.76
12/01/2017	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.43	0.00	4.43	90.0	3.99
12/01/2017	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.43	0.00	4.43	90.0	3.99
12/01/2017	PEVOS, DEBRA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.82	0.00	1.82	90.0	1.64
12/01/2017	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	23.08	0.00	23.08	90.0	20.77
12/01/2017	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	23.08	0.00	23.08	90.0	20.77
12/01/2017	MARKHAM, CLAIRE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.10	0.00	6.10	90.0	5.49
12/01/2017	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.70	0.00	4.70	90.0	4.23
12/01/2017	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	PALMERI, MARIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	1.19
12/01/2017	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.86	0.00	4.86	90.0	4.37
12/01/2017	UNTIL AGE 21, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.39	0.00	3.39	90.0	3.05
12/01/2017	UNTIL AGE 21, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.86	0.00	2.86	90.0	2.57
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.42	0.00	12.42	90.0	11.18
12/01/2017	WALSH, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.05	0.00	3.05	90.0	2.75
12/01/2017	WALSH, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	MOTOR CITY COMPUTER	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	238.43	0.00	238.43	90.0	214.59
12/01/2017	JAMES, ANGELA	AM FUNDS ICA 529A	0.00	0.53	0.00	0.53	90.0	0.48

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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>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	BANNICK, ROBERT	AM FUNDS ICA 529C	0.00	7.93	0.00	7.93	90.0	7.14
12/01/2017	BANNICK, ROBERT	AM FUNDS ICA 529C	0.00	7.93	0.00	7.93	90.0	7.14
12/01/2017	JACK, KELLY	AM FUNDS ICA 529C	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	PALMERI, BRENT	AM FUNDS ICA A	0.00	10.66	0.00	10.66	90.0	9.59
12/01/2017	PALMERI, MARIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
12/01/2017	WALSH, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	0.06	0.00	0.06	90.0	0.05
12/01/2017	WALSH, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	HICKSON, MARK	AM FUNDS INCOME FUND OF AMERICA-529	0.00	19.68	0.00	19.68	90.0	17.71
12/01/2017	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	3.42	0.00	3.42	90.0	3.08
12/01/2017	HOLMES, KAYLA	AM FUNDS NEW ECONOMY 529C	0.00	11.53	0.00	11.53	90.0	10.38
12/01/2017	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	4.28	0.00	4.28	90.0	3.85
12/01/2017	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	4.28	0.00	4.28	90.0	3.85
12/01/2017	SCACCIA, KELLY	AM FUNDS NEW PERSPECTIVE 529C	0.00	29.46	0.00	29.46	90.0	26.51
12/01/2017	SCACCIA, KELLY	AM FUNDS NEW PERSPECTIVE 529C	0.00	25.28	0.00	25.28	90.0	22.75
12/01/2017	CARLINO, GIANNI	AM FUNDS NEW WORLD 529C	0.00	16.90	0.00	16.90	90.0	15.21
12/01/2017	CARLINO, GIANNI	AM FUNDS NEW WORLD 529C	0.00	16.90	0.00	16.90	90.0	15.21
12/01/2017	ANTHONY, NICHOLAS	AM FUNDS SMALLCAP WORLD A	0.00	6.77	0.00	6.77	90.0	6.09
12/01/2017	CARROLL, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.29	0.00	4.29	90.0	3.86
12/01/2017	UNTIL AGE 21, MI/UTMA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	90.0	2.03
12/01/2017	UNTIL AGE 21, MI/UTMA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.34	0.00	2.34	90.0	2.11
12/01/2017	MAHER, HENRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.61	0.00	4.61	90.0	4.15
12/01/2017	JACK, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	WALSH, KIMBERLY	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	KALLEBERG, JUSTIN	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.24	0.00	0.24	90.0	0.22
11/14/2017	EDWARDS-BROWN JT TEN, LINDA	LORD ABBETT AFFILIATED A	0.00	0.84	0.00	0.84	90.0	0.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,745.00	\$0.00	\$1,745.00		\$1,570.60
*** DIRECT TRANSACTIONS TOTAL ***			\$20,199,949.41	\$13,956.84	\$68.00	\$13,888.84		\$12,500.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
12/15/2017		*: RBC DUP STATEMENT DE VITA	0.00					-2.00
12/15/2017		*: RBC DUP STATEMENT DE VITA	0.00					-2.00
12/15/2017		*: RBC DUP STATEMENT DE VITA	0.00					-2.00
12/15/2017		*: RBC DUP STATEMENT FOSTER	0.00					-2.00
12/15/2017		*: RBC DUP STATEMENT MARIN	0.00					-2.00
12/15/2017		*: RBC OVERNIGHT FEE - KUECKEN	0.00					-5.00
12/15/2017		*: RBC OVERNIGHT FEE - KUECKEN	0.00					-5.00
12/15/2017		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
12/15/2017		*ALBRIDGE: LIGHT USER	0.00					-76.00
12/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
12/15/2017		*GLOBAL RELAY: WEBSITE	0.00					-15.00
12/15/2017		*RBC: CURRENT MONTH	0.00					-25.00
12/15/2017		*RBC: ORDER ENTRY	0.00					-65.00
12/15/2017		*TECHNOLOGY: ADM - ZAREFA MARINI	0.00					-130.00
12/15/2017		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-818.00

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

BROKER COMMISSION TOTALS

Broker Transactions	\$12,500.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-818.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$29.32
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$11,711.70
Year-to-date Gross	\$406,313.65
Year-to-date Earnings	\$364,723.11