

COMMISSION STATEMENT

April 03, 2017

JOHN HEIDENREICH
7 EAST 86TH ST
APT 15B
NEW YORK, NY 10028

BROKER #:
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JOHN HEIDENREICH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--------------------------------|----------|---------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 03/02/2017 | 75501290 | PRESTON, MARGARITA | GOLDMAN SACHS HIGH YIELD FUND CL A B | 32,894.57 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/02/2017 | 75501290 | PRESTON, MARGARITA | GOLDMAN SACHS TOLLKEEPER FUND CLASS S | 32,894.57 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/08/2017 | 75501290 | PRESTON, MARGARITA | WASHINGTON MUTUAL INVESTORS FUND-A S | 200.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/21/2017 | 75501309 | TOTTEN, ANN | THE GROWTH FUND OF AMERICA-A S | 5,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/21/2017 | 75501309 | TOTTEN, ANN | THE NEW ECONOMY FUND-A S | 4,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/08/2017 | 75501310 | MARGARITA F PRESTON | MAINSTAY UNCONSTRAINED BOND FUND CL S | 1,100.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/28/2017 | 75501317 | PIPER, CAROL | MFS RESEARCH FUND-A S | 1,851.84 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$77,940.98 | \$0.00 | \$70.00 | \$-70.00 | | \$-45.50 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | | |
|------------|----------|---------------------|--|---------------------------------------|---|-----------|--------|-------|--------|------|--------|
| 03/15/2017 | 75501291 | PRESTON, MARGARITA | | TANGOE INC COMMON STOCK | B | 9,260.00 | 150.00 | 10.00 | 140.00 | 65.0 | 91.00 |
| 03/23/2017 | 75501291 | PRESTON, MARGARITA | | TANGOE INC COMMON STOCK | S | 5,050.00 | 100.00 | 10.00 | 90.00 | 65.0 | 58.50 |
| 03/01/2017 | 75501292 | JOE, HENRY | | YAHOO INC | S | 9,264.00 | 100.00 | 10.00 | 90.00 | 65.0 | 58.50 |
| 03/15/2017 | 75501292 | JOE, HENRY | | TANGOE INC COMMON STOCK | B | 9,260.00 | 150.00 | 10.00 | 140.00 | 65.0 | 91.00 |
| 03/24/2017 | 75501292 | JOE, HENRY | | TANGOE INC COMMON STOCK | S | 5,111.00 | 100.00 | 10.00 | 90.00 | 65.0 | 58.50 |
| 03/21/2017 | 75501293 | JOE, HENRY | | CREDIT SUISSE AG NASSAU BRH VELOCIT B | | 11,456.97 | 239.13 | 10.00 | 229.13 | 65.0 | 148.93 |
| 03/01/2017 | 75501307 | TOTTEN, ANN | | YAHOO INC | S | 23,060.00 | 300.00 | 10.00 | 290.00 | 65.0 | 188.50 |
| 03/15/2017 | 75501307 | TOTTEN, ANN | | TANGOE INC COMMON STOCK | B | 13,890.00 | 200.00 | 10.00 | 190.00 | 65.0 | 123.50 |
| 03/21/2017 | 75501307 | TOTTEN, ANN | | DIREXION SHARES ETF TRUST DIREXION B | | 11,338.60 | 305.24 | 10.00 | 295.24 | 65.0 | 191.91 |
| 03/21/2017 | 75501307 | TOTTEN, ANN | | PROCTER & GAMBLE CO | S | 46,604.36 | 355.00 | 10.00 | 345.00 | 65.0 | 224.25 |
| 03/23/2017 | 75501307 | TOTTEN, ANN | | TANGOE INC COMMON STOCK | S | 10,120.00 | 250.00 | 10.00 | 240.00 | 65.0 | 156.00 |
| 03/28/2017 | 75501307 | TOTTEN, ANN | | NUVEEN CR OPPORTUNITIES 2022 TRGT T B | | 50,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/17/2017 | 75501310 | MARGARITA F PRESTON | | TICC CAPITAL CORP | S | 1,444.00 | 72.20 | 10.00 | 62.20 | 65.0 | 40.43 |
| 03/17/2017 | 75501310 | MARGARITA F PRESTON | | TICC CAPITAL CORP | S | 13,068.00 | 343.75 | 0.00 | 343.75 | 65.0 | 223.44 |
| 03/28/2017 | 75501310 | MARGARITA F PRESTON | | AGNC INVESTMENT CORP COMMON STOCK | B | 19,920.00 | 429.93 | 10.00 | 419.93 | 65.0 | 272.95 |
| 03/28/2017 | 75501310 | MARGARITA F PRESTON | | CYS INVESTMENTS INC | S | 11,715.15 | 343.01 | 10.00 | 333.01 | 65.0 | 216.46 |
| 03/28/2017 | 75501310 | MARGARITA F PRESTON | | NUVEEN CR OPPORTUNITIES 2022 TRGT T B | | 25,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/28/2017 | 75501310 | MARGARITA F PRESTON | | OXFORD LANE CAPITAL CORP | S | 21,880.00 | 515.61 | 10.00 | 505.61 | 65.0 | 328.65 |
| 03/15/2017 | 75501313 | HEIDENREICH, ROBERT | | TANGOE INC COMMON STOCK | B | 13,890.00 | 200.00 | 10.00 | 190.00 | 65.0 | 123.50 |
| 03/21/2017 | 75501313 | HEIDENREICH, ROBERT | | CREDIT SUISSE AG NASSAU BRH VELOCIT B | | 19,028.20 | 368.52 | 10.00 | 358.52 | 65.0 | 233.04 |
| 03/27/2017 | 75501313 | HEIDENREICH, ROBERT | | TANGOE INC COMMON STOCK | S | 10,320.00 | 250.00 | 10.00 | 240.00 | 65.0 | 156.00 |

COMMISSION STATEMENT for JOHN HEIDENREICH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|---|-----------|---------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|------------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | | |
| 03/28/2017 | 75501313 | HEIDENREICH, ROBERT | MFA FINANCIAL INC | S | 23,940.00 | 150.00 | 10.00 | 140.00 | 65.0 | 91.00 |
| 03/28/2017 | 75501313 | HEIDENREICH, ROBERT | PROSPECT CAPITAL CORPORATION | B | 22,734.00 | 330.00 | 10.00 | 320.00 | 65.0 | 208.00 |
| 03/28/2017 | 75501316 | PIPER, CAROL | MTGE INVESTMENT CORP COMMON STOCK | B | 8,375.00 | 213.73 | 10.00 | 203.73 | 65.0 | 132.42 |
| 03/28/2017 | 75501316 | PIPER, CAROL | NUVEEN CR OPPORTUNITIES 2022 TRGT T B | | 10,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/28/2017 | 75501317 | PIPER, CAROL | NUVEEN CR OPPORTUNITIES 2022 TRGT T B | | 5,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 03/28/2017 | 75501344 | BUNIN, ARLENE | NUVEEN CR OPPORTUNITIES 2022 TRGT T B | | 10,000.00 | 0.00 | 10.00 | -10.00 | 65.0 | -6.50 |
| 02/27/2017 | QGW036543 | MAT9 LLC | VIEWRAY INC COM | S | -9,000.00 | 160.42 | 10.00 | 150.42 | 65.0 | 97.77 |
| 02/27/2017 | QGW036543 | MAT9 LLC | VIEWRAY INC COM | S | -12,760.00 | 213.91 | 10.00 | 203.91 | 65.0 | 132.54 |
| 02/27/2017 | QGW036543 | MAT9 LLC | VIEWRAY INC COM | S | -12,120.00 | 213.90 | 10.00 | 203.90 | 65.0 | 132.54 |
| 02/27/2017 | QGW036543 | MAT9 LLC | VIEWRAY INC COM | S | -12,080.00 | 213.90 | 10.00 | 203.90 | 65.0 | 132.54 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -5,200.00 | 153.16 | 10.00 | 143.16 | 65.0 | 93.05 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -2,860.00 | 84.24 | 10.00 | 74.24 | 65.0 | 48.26 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -13,100.50 | 382.91 | 10.00 | 372.91 | 65.0 | 242.39 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -3,930.45 | 114.87 | 10.00 | 104.87 | 65.0 | 68.17 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -9,100.00 | 268.06 | 10.00 | 258.06 | 65.0 | 167.74 |
| 03/27/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -4,087.02 | 119.01 | 10.00 | 109.01 | 65.0 | 70.86 |
| 03/28/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -9,002.10 | 289.20 | 10.00 | 279.20 | 65.0 | 181.48 |
| 03/28/2017 | QGW036766 | STOIC LLC | MATINAS BIOPHARMA HLDGS INC COM | S | -3,050.00 | 96.40 | 10.00 | 86.40 | 65.0 | 56.16 |
| 03/02/2017 | QGW036873 | PASTORE, RALPH | UNDER ARMOUR INC CL A | S | -20,821.20 | 331.52 | 10.00 | 321.52 | 65.0 | 208.99 |
| * STOCKS SUBTOTAL * | | | | | \$303,618.01 | \$8,107.62 | \$390.00 | \$7,717.62 | | \$5,016.47 |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | | |
| 03/08/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 03/17/17 32 | S | 5,700.00 | 20.00 | 10.00 | 10.00 | 65.0 | 6.50 |
| 03/15/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 04/21/17 32 | S | 8,250.00 | 100.00 | 10.00 | 90.00 | 65.0 | 58.50 |
| 03/15/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 03/17/17 32 | B | 7,950.00 | 100.00 | 10.00 | 90.00 | 65.0 | 58.50 |
| 03/21/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 04/21/17 33 | S | 4,800.00 | 150.00 | 10.00 | 140.00 | 65.0 | 91.00 |
| * OPTIONS SUBTOTAL * | | | | | \$26,700.00 | \$370.00 | \$40.00 | \$330.00 | | \$214.50 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 03/10/2017 | 75501290 | PRESTON, MARGARITA | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 1.87 | 0.00 | 1.87 | 65.0 | 1.22 |
| 03/10/2017 | 75501290 | PRESTON, MARGARITA | GOLDMAN SACHS TOLLKEEPER FUND CLASS B | | 0.00 | 6.20 | 0.00 | 6.20 | 65.0 | 4.03 |
| 03/10/2017 | 75501290 | PRESTON, MARGARITA | THE INCOME FUND OF AMERICA-A | B | 0.00 | 7.09 | 0.00 | 7.09 | 65.0 | 4.61 |
| 03/10/2017 | 75501290 | PRESTON, MARGARITA | WASHINGTON MUTUAL INVESTORS FUND-A | B | 0.00 | 8.52 | 0.00 | 8.52 | 65.0 | 5.54 |
| 03/10/2017 | 75501291 | PRESTON, MARGARITA | AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 7.86 | 0.00 | 7.86 | 65.0 | 5.11 |
| 03/10/2017 | 75501291 | PRESTON, MARGARITA | FRANKLIN HIGH-YIELD TAX-FREE INCOME B | | 0.00 | 11.00 | 0.00 | 11.00 | 65.0 | 7.15 |
| 03/10/2017 | 75501291 | PRESTON, MARGARITA | FRK AGE HIGH INC FND - CL A | B | 0.00 | 3.54 | 0.00 | 3.54 | 65.0 | 2.30 |
| 03/10/2017 | 75501291 | PRESTON, MARGARITA | NUVEEN FLAGSHIP MUN TR HIGH YIELD M B | | 0.00 | 6.99 | 0.00 | 6.99 | 65.0 | 4.54 |
| 03/10/2017 | 75501291 | PRESTON, MARGARITA | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 10.56 | 0.00 | 10.56 | 65.0 | 6.86 |
| 03/10/2017 | 75501293 | JOE, HENRY | FRK NATURAL RES FND - CL A | B | 0.00 | 0.81 | 0.00 | 0.81 | 65.0 | 0.53 |
| 03/10/2017 | 75501293 | JOE, HENRY | INTERMEDIATE BOND FUND OF AMERICA-A B | | 0.00 | 3.55 | 0.00 | 3.55 | 65.0 | 2.31 |

COMMISSION STATEMENT for JOHN HEIDENREICH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|---|----------|----------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|-------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 03/10/2017 | 75501305 | BUNIN, ARLENE | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 5.12 | 0.00 | 5.12 | 65.0 | 3.33 |
| 03/10/2017 | 75501305 | BUNIN, ARLENE | FRK AGE HIGH INC FND - CL A | B | 0.00 | 10.56 | 0.00 | 10.56 | 65.0 | 6.86 |
| 03/10/2017 | 75501305 | BUNIN, ARLENE | GOLDMAN SACHS HIGH YIELD FUND CL A B | | 0.00 | 32.32 | 0.00 | 32.32 | 65.0 | 21.01 |
| 03/10/2017 | 75501307 | TOTTEN, ANN | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 15.50 | 0.00 | 15.50 | 65.0 | 10.08 |
| 03/10/2017 | 75501307 | TOTTEN, ANN | THE BOND FUND OF AMERICA-A | B | 0.00 | 8.84 | 0.00 | 8.84 | 65.0 | 5.75 |
| 03/10/2017 | 75501307 | TOTTEN, ANN | THE INCOME FUND OF AMERICA-A | B | 0.00 | 12.01 | 0.00 | 12.01 | 65.0 | 7.81 |
| 03/10/2017 | 75501308 | ANN S TOTTEN | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 4.42 | 0.00 | 4.42 | 65.0 | 2.87 |
| 03/10/2017 | 75501308 | ANN S TOTTEN | MUTUAL DISC FND - CL A | B | 0.00 | 3.38 | 0.00 | 3.38 | 65.0 | 2.20 |
| 03/10/2017 | 75501309 | TOTTEN, ANN | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 5.79 | 0.00 | 5.79 | 65.0 | 3.76 |
| 03/10/2017 | 75501309 | TOTTEN, ANN | FRANKLIN SMALL-MID CAP GROWTH FUND | B | 0.00 | 1.39 | 0.00 | 1.39 | 65.0 | 0.90 |
| 03/10/2017 | 75501309 | TOTTEN, ANN | THE GROWTH FUND OF AMERICA-A | B | 0.00 | 8.03 | 0.00 | 8.03 | 65.0 | 5.22 |
| 03/10/2017 | 75501309 | TOTTEN, ANN | THE NEW ECONOMY FUND-A | B | 0.00 | 7.09 | 0.00 | 7.09 | 65.0 | 4.61 |
| 03/10/2017 | 75501310 | MARGARITA F PRESTON | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 2.98 | 0.00 | 2.98 | 65.0 | 1.94 |
| 03/10/2017 | 75501310 | MARGARITA F PRESTON | MAINSTAY HIGH-YIELD CORPORATE BOND | B | 0.00 | 20.91 | 0.00 | 20.91 | 65.0 | 13.59 |
| 03/10/2017 | 75501310 | MARGARITA F PRESTON | MAINSTAY UNCONSTRAINED BOND FUND CL B | | 0.00 | 26.18 | 0.00 | 26.18 | 65.0 | 17.02 |
| 03/10/2017 | 75501310 | MARGARITA F PRESTON | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 7.18 | 0.00 | 7.18 | 65.0 | 4.67 |
| 03/10/2017 | 75501310 | MARGARITA F PRESTON | THE INCOME FUND OF AMERICA-A | B | 0.00 | 6.44 | 0.00 | 6.44 | 65.0 | 4.19 |
| 03/10/2017 | 75501311 | HEIDENREICH, CHARLYN | DELAWARE SELECT GROWTH FUND A CLASS B | | 0.00 | 1.75 | 0.00 | 1.75 | 65.0 | 1.14 |
| 03/10/2017 | 75501312 | HEIDENREICH, CHARLYN | DELAWARE INVESTMENTS DIVERSIFIED IN B | | 0.00 | 1.30 | 0.00 | 1.30 | 65.0 | 0.85 |
| 03/10/2017 | 75501312 | HEIDENREICH, CHARLYN | FRANKLIN U.S. GOVERNMENT SECURITIES B | | 0.00 | 0.70 | 0.00 | 0.70 | 65.0 | 0.46 |
| 03/10/2017 | 75501312 | HEIDENREICH, CHARLYN | INTERMEDIATE BOND FUND OF AMERICA-A B | | 0.00 | 2.61 | 0.00 | 2.61 | 65.0 | 1.70 |
| 03/10/2017 | 75501312 | HEIDENREICH, CHARLYN | MFS EMERGING GROWTH FUND CLASS A | B | 0.00 | 0.33 | 0.00 | 0.33 | 65.0 | 0.21 |
| 03/10/2017 | 75501312 | HEIDENREICH, CHARLYN | SHORT-TERM BOND FUND OF AMERICA - A B | | 0.00 | 1.62 | 0.00 | 1.62 | 65.0 | 1.05 |
| 03/10/2017 | 75501313 | HEIDENREICH, ROBERT | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 9.43 | 0.00 | 9.43 | 65.0 | 6.13 |
| 03/10/2017 | 75501313 | HEIDENREICH, ROBERT | FRANKLIN/TEMPLETON FUNDS 353612690 | B | 0.00 | 12.37 | 0.00 | 12.37 | 65.0 | 8.04 |
| 03/10/2017 | 75501313 | HEIDENREICH, ROBERT | GOLDMAN SACHS TR SHORT DURATION INC B | | 0.00 | 12.07 | 0.00 | 12.07 | 65.0 | 7.85 |
| 03/10/2017 | 75501313 | HEIDENREICH, ROBERT | THE BOND FUND OF AMERICA-A | B | 0.00 | 8.54 | 0.00 | 8.54 | 65.0 | 5.55 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | EATON VANCE NATIONAL MUNICIPAL FUND B | | 0.00 | 85.28 | 0.00 | 85.28 | 65.0 | 55.43 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | FRANKLIN NEW YORK TAX-FREE INCOME F B | | 0.00 | 35.52 | 0.00 | 35.52 | 65.0 | 23.09 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | GOLDMAN SACHS DYNAMIC MUNICIPAL INC B | | 0.00 | 81.00 | 0.00 | 81.00 | 65.0 | 52.65 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | GOLDMAN SACHS HIGH YIELD MUNICIPAL | B | 0.00 | 47.81 | 0.00 | 47.81 | 65.0 | 31.08 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | ROCH. LIMITED TERM NEW YORK MUNICIP B | | 0.00 | 33.84 | 0.00 | 33.84 | 65.0 | 22.00 |
| 03/10/2017 | 75501314 | COHEN, GLADYS | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 23.81 | 0.00 | 23.81 | 65.0 | 15.48 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | ALLIANCEBERNSTEIN MUNI INCOME-NY A B | | 0.00 | 35.44 | 0.00 | 35.44 | 65.0 | 23.04 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | EATON VANCE NATIONAL MUNICIPAL FUND B | | 0.00 | 14.53 | 0.00 | 14.53 | 65.0 | 9.44 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | EHV 27826L322 | B | 0.00 | 21.94 | 0.00 | 21.94 | 65.0 | 14.26 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | GOLDMAN SACHS HIGH YIELD MUNICIPAL | B | 0.00 | 28.47 | 0.00 | 28.47 | 65.0 | 18.51 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | NUVEEN NEW YORK MUNI BOND A | B | 0.00 | 52.36 | 0.00 | 52.36 | 65.0 | 34.03 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 6.13 | 0.00 | 6.13 | 65.0 | 3.98 |
| 03/10/2017 | 75501315 | COHEN, GLADYS | ROCHESTER FUND MUNICIPALS A | B | 0.00 | 16.46 | 0.00 | 16.46 | 65.0 | 10.70 |

COMMISSION STATEMENT for JOHN HEIDENREICH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | | |
|---|-----------|----------------------|-----|---------------------------------------|---------------------|--------------------|-------------------|----------|----------------------|------|------------|
| BROKER TRANSACTIONS | | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | | |
| 03/10/2017 | 75501315 | COHEN, GLADYS | | THE BOND FUND OF AMERICA-A | B | 0.00 | 14.29 | 0.00 | 14.29 | 65.0 | 9.29 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 5.69 | 0.00 | 5.69 | 65.0 | 3.70 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | DELAWARE GROUP HIGH YIELD OPPORTUNI | B | 0.00 | 2.03 | 0.00 | 2.03 | 65.0 | 1.32 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | FEDERATED HIGH INCOME BOND FUND | B | 0.00 | 6.03 | 0.00 | 6.03 | 65.0 | 3.92 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 7.10 | 0.00 | 7.10 | 65.0 | 4.62 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | FRK AGE HIGH INC FND - CL A | B | 0.00 | 1.98 | 0.00 | 1.98 | 65.0 | 1.29 |
| 03/10/2017 | 75501316 | PIPER, CAROL | | GOLDMAN SACHS HIGH YIELD FUND CL A B | B | 0.00 | 6.13 | 0.00 | 6.13 | 65.0 | 3.98 |
| 03/10/2017 | 75501317 | PIPER, CAROL | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 1.05 | 0.00 | 1.05 | 65.0 | 0.68 |
| 03/10/2017 | 75501317 | PIPER, CAROL | | MFS RESEARCH FUND-A | B | 0.00 | 0.35 | 0.00 | 0.35 | 65.0 | 0.23 |
| 03/10/2017 | 75501317 | PIPER, CAROL | | NEW PERSPECTIVE FUND-A | B | 0.00 | 2.95 | 0.00 | 2.95 | 65.0 | 1.92 |
| 03/10/2017 | 75501324 | HEIDENREICH, CHARLYN | | FRANKLIN BIOTECHNOLOGY DISCOVERY FU B | B | 0.00 | 3.02 | 0.00 | 3.02 | 65.0 | 1.96 |
| 03/10/2017 | 75501325 | ANN S TOTTEN | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 2.36 | 0.00 | 2.36 | 65.0 | 1.53 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | **JPMORGAN TR I | B | 0.00 | 5.10 | 0.00 | 5.10 | 65.0 | 3.32 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | **JPMORGAN TR I | B | 0.00 | 4.68 | 0.00 | 4.68 | 65.0 | 3.04 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | **JPMORGAN TR II | B | 0.00 | 20.30 | 0.00 | 20.30 | 65.0 | 13.20 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | DYNAMIC SMALL CAP FUND - A | B | 0.00 | 15.35 | 0.00 | 15.35 | 65.0 | 9.98 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | FIDELITY ADV TECHNOLOGY CL A | B | 0.00 | 8.79 | 0.00 | 8.79 | 65.0 | 5.71 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | GROWTH AND INCOME FUND - A | B | 0.00 | 15.46 | 0.00 | 15.46 | 65.0 | 10.05 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | SMALL CAP EQUITY FUND - A | B | 0.00 | 3.55 | 0.00 | 3.55 | 65.0 | 2.31 |
| 03/10/2017 | 75501867 | PAGAN, VIONA LYNN | | U.S. EQUITY FUND - A | B | 0.00 | 20.08 | 0.00 | 20.08 | 65.0 | 13.05 |
| 03/13/2017 | QGW030595 | COHEN, MICHAEL | | FRANKLIN BIOTECHNOLOGY DISCOVERY FU B | B | 0.00 | 9.30 | 0.00 | 9.30 | 65.0 | 6.05 |
| 03/13/2017 | QGW030595 | COHEN, MICHAEL | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 10.03 | 0.00 | 10.03 | 65.0 | 6.52 |
| 03/15/2017 | QGW030595 | COHEN, MICHAEL | | GOLDMAN SACHS HIGH YIELD MUNICIPAL B | B | 0.00 | 17.04 | 0.00 | 17.04 | 65.0 | 11.08 |
| | | | | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | \$0.00 | \$962.10 | \$0.00 | \$962.10 | | \$625.43 |
| | | | | *** BROKER TRANSACTIONS TOTAL *** | | \$408,258.99 | \$9,439.72 | \$500.00 | \$8,939.72 | | \$5,810.90 |

ADJUSTMENTS

| | | | | | | |
|---------------------------|----------------------------------|--------|--------|--------|--------|-----------|
| 04/03/2017 | OTHER: COMPLIANCE AND TECHNOLOGY | 0.00 | 0.00 | 0.00 | 0.00 | -20.00 |
| 04/03/2017 | OTHER: EXCHANGE FEES | 0.00 | 0.00 | 0.00 | 0.00 | -54.44 |
| 04/03/2017 | OTHER: QUODD | 0.00 | 0.00 | 0.00 | 0.00 | -170.35 |
| 04/03/2017 | OTHER: WEALTH MANAGEMENT STATION | 0.00 | 0.00 | 0.00 | 0.00 | -25.00 |
| *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-269.79 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,810.90 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-269.79 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-11.80 |
| SIPC Assessment | \$-176.99 |

| | |
|------------------------------|--------------------|
| Check Amount | \$5,352.32 |
| Year-to-date Earnings | \$21,172.56 |