



Concorde Investment Services, LLC

01/13/2017  
Page No. 1

# COMMISSION STATEMENT

January 17, 2017

NATHANIEL KUHN  
612 S. Bristol Lane

BROKER #: K134  
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/28/2016	WHITE, AMANDA	AM FUNDS AMCAP A	32.50	1.38	0.00	1.38	90.0	1.24
01/03/2017	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
01/03/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
01/03/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
01/03/2017	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
01/03/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
12/28/2016	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	32.50	1.38	0.00	1.38	90.0	1.24
01/03/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
01/03/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	5.00	0.00	5.00	90.0	4.50
01/03/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	100.00	5.00	0.00	5.00	90.0	4.50
01/03/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	100.00	5.00	0.00	5.00	90.0	4.50
12/28/2016	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	32.50	1.38	0.00	1.38	90.0	1.24
01/03/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
01/03/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
01/03/2017	GARCIA, MARC	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
01/03/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
12/28/2016	WHITE, AMANDA	AM FUNDS ICA A	32.50	1.38	0.00	1.38	90.0	1.24

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
01/03/2017	RAPATA, DANIEL	AM FUNDS ICA A	50.00	1.38	0.00	1.38	90.0	1.24
01/03/2017	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
01/03/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
01/03/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
01/03/2017	MUELLNER, MARK	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	100.00	5.00	0.00	5.00	90.0	4.50
01/03/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.16	0.00	0.16	90.0	0.14
/ /	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	14.02	0.00	14.02	90.0	12.62
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	4.53	0.00	4.53	90.0	4.08
01/03/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	150.00	1.50	0.00	1.50	90.0	1.35
/ /	SMITH, PATRICK	HARTFORD CAPITAL APPRECIATION A	0.00	0.20	0.00	0.20	90.0	0.18
/ /	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.54	0.00	0.54	90.0	0.49
/ /	SAYRE, MICHAEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	90.0	0.39
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.71	0.00	2.71	90.0	2.44
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.39	0.00	5.39	90.0	4.85
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.66	0.00	5.66	90.0	5.09
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.65	0.00	2.65	90.0	2.39
/ /	SMITH, PATRICK	HARTFORD DIVIDEND & GROWTH A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	SAYRE, MICHAEL	HARTFORD DIVIDEND & GROWTH A	0.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	5.09	0.00	5.09	90.0	4.58
/ /	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	7.82	0.00	7.82	90.0	7.04
01/03/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
01/03/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	9.97	0.00	9.97	90.0	8.97
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	3.81	0.00	3.81	90.0	3.43
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.24	0.00	0.24	90.0	0.22
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	4.68	0.00	4.68	90.0	4.21

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.08	0.00	2.08	90.0	1.87
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.52	0.00	4.52	90.0	4.07
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	11.54	0.00	11.54	90.0	10.39
/ /	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.89	0.00	0.89	90.0	0.80
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.64	0.00	0.64	90.0	0.58
01/03/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	100.00	4.75	0.00	4.75	90.0	4.28
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.27	0.00	0.27	90.0	0.24
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.40	0.00	0.40	90.0	0.36
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.57	0.00	1.57	90.0	1.41
/ /	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.66	0.00	0.66	90.0	0.59
/ /	SMITH, PATRICK	HARTFORD MIDCAP A	0.00	0.29	0.00	0.29	90.0	0.26
/ /	SMITH, PATRICK	HARTFORD TOTAL RETURN BOND A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.78	0.00	1.78	90.0	1.60
/ /	SAYRE, MICHAEL	HARTFORD TOTAL RETURN BOND A	0.00	0.26	0.00	0.26	90.0	0.23
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.94	0.00	3.94	90.0	3.55
/ /	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.38	0.00	5.38	90.0	4.84
01/03/2017	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
01/03/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SAAM, ROBERT	UB TRUST AGE BASED AGGRESSIVE 0-8 A	0.00	4.79	0.00	4.79	90.0	4.31
/ /	BAXTER, KIMBERLY	UB TRUST AGE BASED AGGRESSIVE 0-8 A	0.00	0.69	0.00	0.69	90.0	0.62
/ /	MOLBERGER, KIMBERLY	UB TRUST AGE BASED AGGRESSIVE 0-8 A	0.00	1.04	0.00	1.04	90.0	0.94
/ /	MOLBERGER, KIMBERLY	UB TRUST AGE BASED AGGRESSIVE 0-8 A	0.00	1.86	0.00	1.86	90.0	1.67
/ /	LOPEZ, JOSE	UB TRUST AGE BASED GROWTH 13-16 A	0.00	1.14	0.00	1.14	90.0	1.03
/ /	LOPEZ, JOSE	UB TRUST AGE BASED GROWTH 13-16 A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	CONDE, CATHERINE	UB TRUST AGE BASED GROWTH 13-16 A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	WELLINGTON, ERICA	UB TRUST AGE BASED GROWTH 13-16 A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	GUIRAGOSSIAN, BETSY	UB TRUST AGE BASED GROWTH 13-16 A	0.00	2.99	0.00	2.99	90.0	2.69
/ /	ROSALES-HARRIGAN, ESTELA	UB TRUST AGE BASED GROWTH 13-16 A	0.00	2.30	0.00	2.30	90.0	2.07
/ /	CONDE, CATHERINE	UB TRUST AGE BASED GROWTH 17-20 A	0.00	0.45	0.00	0.45	90.0	0.41
/ /	GUIRAGOSSIAN, BETSY	UB TRUST AGE BASED GROWTH 17-20 A	0.00	1.20	0.00	1.20	90.0	1.08
/ /	LOPEZ, JOSE	UB TRUST AGE BASED GROWTH 21+ A	0.00	0.97	0.00	0.97	90.0	0.87
/ /	COLAN, MICHAEL	UB TRUST AGE BASED GROWTH 9-12 A	0.00	0.67	0.00	0.67	90.0	0.60
/ /	LIEBERMAN, DAVID	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.88	0.00	1.88	90.0	1.69

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	BATTAGLIA, MICHAEL	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.56	0.00	1.56	90.0	1.40
/ /	MUELLNER, MARK	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.25	0.00	1.25	90.0	1.13
/ /	MUELLNER, MARK	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.26	0.00	1.26	90.0	1.13
/ /	HINTCH, ELIZABETH	UB TRUST AGE BASED GROWTH 9-12 A	0.00	7.11	0.00	7.11	90.0	6.40
/ /	HIRSTIUS, KERRIE	UB TRUST AGE BASED GROWTH 9-12 A	0.00	0.33	0.00	0.33	90.0	0.30
/ /	HATCHER, JULIANA	UB TRUST AGE BASED GROWTH 9-12 A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	HIRSTIUS, KERRIE	UB TRUST AGE BASED GROWTH 9-12 A	0.00	7.84	0.00	7.84	90.0	7.06
/ /	HARRIS, KRISTOFER	UB TRUST AGE BASED GROWTH 9-12 A	0.00	2.56	0.00	2.56	90.0	2.30
/ /	WELLINGTON, ERICA	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.46	0.00	1.46	90.0	1.31
/ /	WILKINS, AARON	UB TRUST AGE BASED GROWTH 9-12 A	0.00	3.12	0.00	3.12	90.0	2.81
/ /	STETTER, MARIA	UB TRUST AGE BASED GROWTH 9-12 A	0.00	1.10	0.00	1.10	90.0	0.99
/ /	LIEBERMAN, DAVID	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.49	0.00	2.49	90.0	2.24
/ /	KLABACHA, JASON	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.64	0.00	1.64	90.0	1.48
/ /	MUELLNER, MARK	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.29	0.00	1.29	90.0	1.16
/ /	MARTIN, JOELLYN	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.71	0.00	1.71	90.0	1.54
/ /	KUHN, NATHANIEL	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.63	0.00	2.63	90.0	2.37
/ /	SISON, MARYBETH	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.64	0.00	0.64	90.0	0.58
/ /	BUERSTATTE, BRANDI	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.67	0.00	1.67	90.0	1.50
/ /	CATANESE, ERIN	UB TRUST AGE BASED GRTH 0-8 A	0.00	4.15	0.00	4.15	90.0	3.74
/ /	SILKAITIS, MYIA	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.20	0.00	1.20	90.0	1.08
/ /	LIM, SUSIE	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.87	0.00	1.87	90.0	1.68
/ /	KLABACHA, JASON	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.43	0.00	1.43	90.0	1.29
/ /	REIDY, TIFFANY	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.45	0.00	2.45	90.0	2.21
/ /	BATTAGLIA, MICHAEL	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.56	0.00	0.56	90.0	0.50
/ /	WIRTZ, GRETCHEN	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.33	0.00	0.33	90.0	0.30
/ /	SAAM, ROBERT	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.06	0.00	2.06	90.0	1.85
/ /	LAMPI, KEITH	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.88	0.00	1.88	90.0	1.69
/ /	CATANESE, ERIN	UB TRUST AGE BASED GRTH 0-8 A	0.00	3.94	0.00	3.94	90.0	3.55
/ /	BRANNAN, JESSE	UB TRUST AGE BASED GRTH 0-8 A	0.00	3.53	0.00	3.53	90.0	3.18
/ /	SISON, MARYBETH	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.49	0.00	0.49	90.0	0.44
/ /	KARKI, TRISHA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	NORRIS, VALERIE	UB TRUST AGE BASED GRTH 0-8 A	0.00	5.62	0.00	5.62	90.0	5.06
/ /	CATANESE, JODY	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.06	0.00	1.06	90.0	0.95

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MARTIN, JOELLYN	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.14	0.00	1.14	90.0	1.03
/ /	COLAN, MICHAEL	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.31	0.00	0.31	90.0	0.28
/ /	COLAN, MICHAEL	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.31	0.00	0.31	90.0	0.28
/ /	ROLLINGER, LAUREN	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.24	0.00	0.24	90.0	0.22
/ /	KADLEC, SABA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	WHITE, AMANDA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.74	0.00	0.74	90.0	0.67
/ /	ARIAS, MELISSA	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.51	0.00	1.51	90.0	1.36
/ /	SAYRE, ROSS	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.64	0.00	0.64	90.0	0.58
/ /	WILSON, JOE	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.19	0.00	0.19	90.0	0.17
/ /	KARKI, TRISHA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.61	0.00	0.61	90.0	0.55
/ /	MEYER, ELIZABETH	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	MEYER, ELIZABETH	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	HARRIS, KRISTOFER	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	BATTAGLIA, JULIE	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.04	0.00	0.04	90.0	0.04
/ /	GREINER, PAUL	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.72	0.00	1.72	90.0	1.55
/ /	GREINER, PAUL	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.72	0.00	1.72	90.0	1.55
/ /	CATANESE, JODY	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	REIDY, TIFFANY	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.57	0.00	1.57	90.0	1.41
/ /	LAWLESS, JENNIFER	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.57	0.00	0.57	90.0	0.51
/ /	DEUTSCH, SCOTT	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.16	0.00	2.16	90.0	1.94
/ /	BRANNAN, JESSE	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.28	0.00	2.28	90.0	2.05
/ /	ARATA, MATHEW	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	KUHN, NATHANIEL	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.97	0.00	0.97	90.0	0.87
/ /	TUCKER, BRANDON	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	ROLLINGER, LAUREN	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.10	0.00	0.10	90.0	0.09
/ /	BUERSTATTE, BRANDI	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	ARIAS, MELISSA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.68	0.00	0.68	90.0	0.61
/ /	SILKAITIS, MYIA	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	LAMPI, KEITH	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.63	0.00	0.63	90.0	0.57
/ /	CONTRERAS, ANDY	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	CONTRERAS, ANDY	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	MARIQUINA, JACQUELINE	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.02	0.00	0.02	90.0	0.02
/ /	MARIQUINA, JACQUELINE	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.08	0.00	0.08	90.0	0.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MACK, ALEXANDER	UB TRUST AGE BASED GRTH 0-8 A	0.00	0.09	0.00	0.09	90.0	0.08
/ /	HARRIS, KRISTOFER	UB TRUST AGE BASED GRTH 0-8 A	0.00	1.93	0.00	1.93	90.0	1.74
/ /	WILKINS, AARON	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.10	0.00	2.10	90.0	1.89
/ /	LAMPI, KEITH	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.84	0.00	2.84	90.0	2.56
/ /	BUERSTATTE, BRANDI	UB TRUST AGE BASED GRTH 0-8 A	0.00	2.17	0.00	2.17	90.0	1.95
/ /	BAXTER, KIMBERLY	UB TRUST AGE-BASED AGGRESSIVE 9-12 A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	WIRTZ, GRETCHEN	UB TRUST AGE-BASED AGGRESSIVE 9-12 A	0.00	0.87	0.00	0.87	90.0	0.78
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	18.54	0.00	18.54	90.0	16.69
12/20/2016	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	4.19	0.00	4.19	90.0	3.77
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	GERALDS, PAMELA	UB TRUST FUND 80 A	0.00	1.52	0.00	1.52	90.0	1.37
12/12/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
12/12/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/12/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/27/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
12/27/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/27/2016	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 03-05-A	0.00	3.06	0.00	3.06	90.0	2.75
12/15/2016	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	13.81	0.00	13.81	90.0	12.43
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	2.00	0.00	2.00	90.0	1.80
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	5.40	0.00	5.40	90.0	4.86
12/05/2016	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
12/15/2016	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/20/2016	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	2.64	0.00	2.64	90.0	2.38
/ /	WIRTZ, GRETCHEN	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	0.07	0.00	0.07	90.0	0.06
12/20/2016	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
/ /	WIRTZ, GRETCHEN	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	2.41	0.00	2.41	90.0	2.17
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 0-02-A	0.00	4.55	0.00	4.55	90.0	4.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	0.00	6.55	0.00	6.55	90.0	5.90
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	0.00	6.73	0.00	6.73	90.0	6.06
/ /	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	0.00	1.74	0.00	1.74	90.0	1.57
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 0-02-A	0.00	2.93	0.00	2.93	90.0	2.64
/ /	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	0.00	3.03	0.00	3.03	90.0	2.73
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.35	0.00	0.35	90.0	0.32
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	2.09	0.00	2.09	90.0	1.88
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 0-02-A	0.00	0.37	0.00	0.37	90.0	0.33
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	0.00	2.00	0.00	2.00	90.0	1.80
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	0.00	0.25	0.00	0.25	90.0	0.23
/ /	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	0.00	0.44	0.00	0.44	90.0	0.40
12/01/2016	REIDY, TIFFANY	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2016	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
12/19/2016	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	500.00	15.00	0.00	15.00	90.0	13.50
12/19/2016	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	111.00	3.33	0.00	3.33	90.0	3.00
12/19/2016	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
12/19/2016	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
12/19/2016	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
12/19/2016	SILKAITIS, MYIA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/19/2016	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
12/19/2016	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
12/19/2016	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
12/30/2016	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 03-05-A	0.00	7.12	0.00	7.12	90.0	6.41
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	0.00	4.77	0.00	4.77	90.0	4.29
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	0.00	2.06	0.00	2.06	90.0	1.85
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	0.00	4.28	0.00	4.28	90.0	3.85
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	0.00	7.12	0.00	7.12	90.0	6.41
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	1.63	0.00	1.63	90.0	1.47
/ /	WIRTZ, GRETCHEN	UBT MODERATE AGE BASED 03-05-A	0.00	0.95	0.00	0.95	90.0	0.86
/ /	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	0.00	6.02	0.00	6.02	90.0	5.42
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	0.00	5.54	0.00	5.54	90.0	4.99

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	0.00	11.64	0.00	11.64	90.0	10.48
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	10.27	0.00	10.27	90.0	9.24
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	0.00	1.43	0.00	1.43	90.0	1.29
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	0.00	16.23	0.00	16.23	90.0	14.61
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	3.11	0.00	3.11	90.0	2.80
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	0.00	3.45	0.00	3.45	90.0	3.11
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.93	0.00	0.93	90.0	0.84
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	0.70	0.00	0.70	90.0	0.63
/ /	KADLEC, SABA	UBT MODERATE AGE BASED 03-05-A	0.00	0.08	0.00	0.08	90.0	0.07
/ /	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	0.00	2.19	0.00	2.19	90.0	1.97
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	0.00	4.48	0.00	4.48	90.0	4.03
/ /	SAYRE, ROSS	UBT MODERATE AGE BASED 03-05-A	0.00	1.83	0.00	1.83	90.0	1.65
/ /	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	0.00	0.55	0.00	0.55	90.0	0.50
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	0.00	1.76	0.00	1.76	90.0	1.58
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	0.00	0.42	0.00	0.42	90.0	0.38
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 03-05-A	0.00	0.08	0.00	0.08	90.0	0.07
/ /	BATTAGLIA, JULIE	UBT MODERATE AGE BASED 03-05-A	0.00	0.11	0.00	0.11	90.0	0.10
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	5.10	0.00	5.10	90.0	4.59
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	5.10	0.00	5.10	90.0	4.59
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	1.72	0.00	1.72	90.0	1.55
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 03-05-A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	0.00	0.07	0.00	0.07	90.0	0.06
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.04	0.00	0.04	90.0	0.04
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.04	0.00	0.04	90.0	0.04
12/01/2016	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2016	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
12/01/2016	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/01/2016	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2016	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
12/01/2016	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/01/2016	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/01/2016	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2016	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/01/2016	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2016	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
12/01/2016	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2016	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
12/15/2016	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2016	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/16/2016	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/19/2016	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
12/19/2016	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
12/19/2016	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
12/19/2016	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/19/2016	CONTRERAS, ANDY	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/19/2016	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
12/19/2016	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
12/19/2016	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
12/20/2016	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
12/28/2016	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	2,350.00	70.50	0.00	70.50	90.0	63.45
12/28/2016	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	2,350.00	70.50	0.00	70.50	90.0	63.45
12/29/2016	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/29/2016	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/30/2016	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
12/30/2016	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	0.00	7.18	0.00	7.18	90.0	6.46
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	4.86	0.00	4.86	90.0	4.37
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	0.00	3.75	0.00	3.75	90.0	3.38
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	0.00	5.06	0.00	5.06	90.0	4.55
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 06-08-A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	0.00	1.85	0.00	1.85	90.0	1.67
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	12.21	0.00	12.21	90.0	10.99
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	0.00	1.41	0.00	1.41	90.0	1.27
/ /	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	0.00	5.41	0.00	5.41	90.0	4.87
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	0.00	1.86	0.00	1.86	90.0	1.67
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	0.92	0.00	0.92	90.0	0.83

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.42	0.00	0.42	90.0	0.38
/ /	LAWLESS, JENNIFER	UBT MODERATE AGE BASED 06-08-A	0.00	1.63	0.00	1.63	90.0	1.47
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 06-08-A	0.00	5.52	0.00	5.52	90.0	4.97
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	0.00	6.10	0.00	6.10	90.0	5.49
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	8.29	0.00	8.29	90.0	7.46
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	6.19	0.00	6.19	90.0	5.57
12/01/2016	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
12/01/2016	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2016	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2016	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/05/2016	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2016	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2016	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
12/16/2016	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
12/19/2016	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
12/19/2016	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/20/2016	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
12/21/2016	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
12/30/2016	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
12/30/2016	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	0.00	1.95	0.00	1.95	90.0	1.76
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	0.00	5.44	0.00	5.44	90.0	4.90
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	3.66	0.00	3.66	90.0	3.29
/ /	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	0.00	20.81	0.00	20.81	90.0	18.73
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	0.00	1.05	0.00	1.05	90.0	0.95
/ /	HATCHER, JULIANA	UBT MODERATE AGE BASED 09-10-A	0.00	0.64	0.00	0.64	90.0	0.58
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	0.00	22.35	0.00	22.35	90.0	20.12
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 09-10-A	0.00	7.30	0.00	7.30	90.0	6.57
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	0.00	4.19	0.00	4.19	90.0	3.77
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	0.00	8.97	0.00	8.97	90.0	8.07
/ /	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	0.00	3.16	0.00	3.16	90.0	2.84
12/01/2016	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
12/01/2016	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	850.00	25.50	0.00	25.50	90.0	22.95
12/01/2016	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
12/05/2016	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
12/05/2016	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2016	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2016	HATCHER, JULIANA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
12/19/2016	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	175.00	5.25	0.00	5.25	90.0	4.73
12/30/2016	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	0.00	4.52	0.00	4.52	90.0	4.07
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	0.00	3.64	0.00	3.64	90.0	3.28
12/01/2016	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2016	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	0.00	3.94	0.00	3.94	90.0	3.55
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 13-14-A	0.00	8.59	0.00	8.59	90.0	7.73
12/05/2016	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	50.00	1.50	0.00	1.50	90.0	1.35
12/20/2016	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	0.00	3.27	0.00	3.27	90.0	2.94
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 15-16-A	0.00	1.86	0.00	1.86	90.0	1.67
/ /	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	0.00	6.57	0.00	6.57	90.0	5.91
12/05/2016	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
12/05/2016	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	90.00	2.70	0.00	2.70	90.0	2.43
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	0.00	2.51	0.00	2.51	90.0	2.26
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 17-18-A	0.00	1.27	0.00	1.27	90.0	1.14
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	0.00	3.48	0.00	3.48	90.0	3.13
12/05/2016	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
12/20/2016	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	0.00	2.79	0.00	2.79	90.0	2.51
12/05/2016	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$19,406.00</b>	<b>\$1,225.08</b>	<b>\$0.00</b>	<b>\$1,225.08</b>		<b>\$1,102.74</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
12/30/2016	KUHN, LINDA	HARTFORD DIRECTOR VII (HL)	16,727.33	10.45	0.00	10.45	90.0	9.41
01/03/2017	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
12/31/2016	JOHNSON, LISA	NATIONWIDE BOA FUTURE II 32	46,364.29	28.98	0.00	28.98	90.0	26.08
12/31/2016	KUHN, THOMAS	NATIONWIDE BOA FUTURE II 32	405,160.53	253.23	0.00	253.23	90.0	227.91
12/31/2016	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	71,592.28	44.75	0.00	44.75	90.0	40.28
12/31/2016	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	71,592.28	44.75	0.00	44.75	90.0	40.28
12/31/2016	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	99,706.54	62.32	0.00	62.32	90.0	56.09
12/31/2016	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	99,706.54	62.32	0.00	62.32	90.0	56.09
12/29/2016	LOIKA, GREGORY	SBL ADVISOR PROGRAM	3,978.22	3.32	0.00	3.32	90.0	2.99
12/29/2016	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	3,982.26	3.33	0.00	3.33	90.0	3.00
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$819,310.27</b>	<b>\$539.70</b>	<b>\$0.00</b>	<b>\$539.70</b>		<b>\$485.76</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
12/31/2016	KUHN, VARIOUS	VOYA RETIREMENT & ANNUITY	0.00	48.92	0.00	48.92	90.0	44.03
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$48.92</b>	<b>\$0.00</b>	<b>\$48.92</b>		<b>\$44.03</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$838,716.27</b>	<b>\$1,813.70</b>	<b>\$0.00</b>	<b>\$1,813.70</b>		<b>\$1,632.53</b>
<b><u>ADJUSTMENTS</u></b>								
01/17/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					876.98
01/17/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
01/17/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.98
01/17/2017		*TECH: ALBRIDGE FULL	0.00					-100.00
01/17/2017		*TECH: CURRENT MONTH TECH-W CLARK	0.00					-100.00
01/17/2017		*TECHNOLOGY: ADMIN - MATT KUHN	0.00					-100.00
01/17/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,632.53
Split Transactions	\$0.00
Override Transactions	\$0.00
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	\$1,632.53
Year-to-date Gross	\$1,813.70
Year-to-date Earnings	\$1,632.53