Page No.

CONCORDE INVESTMENT SERVICES

**COMMISSION STATEMENT** 

**January 31, 2017** 

BROKER #: B116
BRANCH: BRAEVEST

## MATT BRANSTETTER

PO Box 250 111 S. Main Street Noble, OK 73068

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		BROKER TRANS	SACTIONS					
PRODUCT CA	ATEGORY: PRIVATE PLACEMENT							
01/13/2017	MOORE, TONI	WPC CORP PROP ASSOC 18 GBL INC CL	4,224.60	10.62	80.0	8.50	0.00	8.50
01/13/2017	CASTLE, DAVID	WPC CORP PROP ASSOC 18 GBL INC CL	4,224.60	10.62	80.0	8.50	0.00	8.50
01/13/2017	MANSFIELD, PHILLIP	WPC CORP PROP ASSOC 18 GBL INC CL	5,914.44	14.87	80.0	11.90	0.00	11.90
		* PRIVATE PLACEMENT SUBTOTAL *	\$14,363.64	\$36.11		\$28.90	\$0.00	\$28.90
PRODUCT CA	ATEGORY: REIT							
12/31/2016	MILLER, MARGA	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	125.68	80.0	100.54	0.00	100.54
		* REIT SUBTOTAL *	\$0.00	\$125.68		\$100.54	\$0.00	\$100.54
PRODUCT CA	ATEGORY: MUTUAL FUNDS							
01/17/2017	DOBELBOWER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	80.0	2.00	0.00	2.00
01/20/2017	MILLER, RILEY	AM FUNDS NEW PERSPECTIVE C	50.00	0.50	80.0	0.40	0.00	0.40
01/17/2017	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL	100.00	3.75	80.0	3.00	0.00	3.00
12/31/2016	ROWE-BRANF	BLK CAPITAL APPRECIATION A	0.00	0.21	80.0	0.17	0.00	0.17
12/31/2016	ROWE-BRANF	BLK CAPITAL APPRECIATION A	0.00	0.83	80.0	0.66	0.00	0.66
12/31/2016	ROWE-BRANF	BLK MOD 13-16 AGE BASED A	0.00	0.16	80.0	0.13	0.00	0.13
01/01/2017	MCKINNEY, E KIM	INVESCO AMERICAN FRANCHISE A	0.00	4.11	80.0	3.29	0.00	3.29
01/01/2017	WHITE, JOANNE	INVESCO AMERICAN FRANCHISE A	0.00	5.97	80.0	4.78	0.00	4.78
01/01/2017	CRETSINGER, DON	INVESCO AMERICAN FRANCHISE A	0.00	4.46	80.0	3.57	0.00	3.57
01/01/2017	MCFERRON, LINDA	INVESCO EMERGING MARKETS EQUITY	0.00	0.33	80.0	0.26	0.00	0.26
01/01/2017	MCFERRON, LINDA	INVESCO ENDEAVOR FUND A	0.00	0.49	80.0	0.39	0.00	0.39
01/01/2017	MCFERRON, LINDA	INVESCO GLOBAL OPPORTUNITIES FUND	0.00	0.23	80.0	0.18	0.00	0.18
01/01/2017	MCKINNEY, E KIM	INVESCO HIGH YIELD FUND A	0.00	0.57	80.0	0.46	0.00	0.46
01/01/2017	MCFERRON, LINDA	INVESCO HIGH YIELD FUND A	0.00	0.37	80.0	0.30	0.00	0.30
01/01/2017	MCKINNEY, E KIM	INVESCO INTERNATIONAL GROWTH A	0.00	1.82	80.0	1.46	0.00	1.46
01/01/2017	MCFERRON, LINDA	INVESCO MLP FUND - CLASS A	0.00	0.24	80.0	0.19	0.00	0.19
01/01/2017	MCFERRON, LINDA	INVESCO MULTI-ASSET 00888W395	0.00	0.21	80.0	0.17	0.00	0.17

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

<sup>\*\* -</sup> Indicates adjustment is not included in Totals or Commissions

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

			INVESTMENT	GROSS		NET	CLEARING	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	RATE	COMMISSION	CHARGE	COMMISSION

## BROKER TRANSACTIONS

		BROKER TRANSACTION	<u>45</u>					
PRODUCT CA	TEGORY: MUTUAL FUNDS							
01/01/2017	MCFERRON, LINDA	INVESCO SMALL COMPANIES FD -A	0.00	0.34	80.0	0.27	0.00	0.27
01/01/2017	MCFERRON, LINDA	INVESCO TECHNOLOGY A	0.00	0.32	80.0	0.26	0.00	0.26
01/01/2017	MCFERRON, LINDA	INVESCO VALUE OPP A	0.00	0.44	80.0	0.35	0.00	0.35
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 100-A	0.00	0.39	80.0	0.31	0.00	0.31
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 300-A	0.00	0.38	80.0	0.30	0.00	0.30
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 500-A	0.00	0.56	80.0	0.45	0.00	0.45
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	MORIELS, FELICIA	PUTNAM AMERICAN GOVT INCOME-M	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	POORE, NANCY	PUTNAM ASIA PACIFIC C	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	NEWTON, GEORGE	PUTNAM EQUITY INCOME A	0.00	7.08	80.0	5.66	0.00	5.66
01/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	1.27	80.0	1.02	0.00	1.02
01/03/2017	TREADWAY, TOMMY	PUTNAM EQUITY SPECTRUM A	0.00	3.11	80.0	2.49	0.00	2.49
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM EQUITY SPECTRUM A	0.00	3.50	80.0	2.80	0.00	2.80
01/03/2017	YOSS, JAY	PUTNAM EQUITY SPECTRUM A	0.00	2.33	80.0	1.86	0.00	1.86
01/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM EQUITY SPECTRUM A	0.00	1.78	80.0	1.42	0.00	1.42
01/03/2017	DOWDY, LINDA	PUTNAM EQUITY SPECTRUM A	0.00	0.59	80.0	0.47	0.00	0.47
01/03/2017	DOWNING, JOHN	PUTNAM EQUITY SPECTRUM A	0.00	1.53	80.0	1.22	0.00	1.22
01/03/2017	GREGORY, MANDY	PUTNAM EQUITY SPECTRUM A	0.00	1.52	80.0	1.22	0.00	1.22
01/03/2017	MOORE, TONI	PUTNAM EQUITY SPECTRUM A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	MICHENER, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	HOUSE, CONNIE	PUTNAM EQUITY SPECTRUM A	0.00	1.18	80.0	0.94	0.00	0.94
01/03/2017	GREGORY, ERIC	PUTNAM EQUITY SPECTRUM A	0.00	0.70	80.0	0.56	0.00	0.56
01/03/2017	MELTON, JOY	PUTNAM EQUITY SPECTRUM A	0.00	0.73	80.0	0.58	0.00	0.58
01/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM B	0.00	0.91	80.0	0.73	0.00	0.73
01/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM B	0.00	1.28	80.0	1.02	0.00	1.02
01/03/2017	DOWDY, JIMMIE	PUTNAM EQUITY SPECTRUM C	0.00	4.75	80.0	3.80	0.00	3.80
01/03/2017	SMIT, CONRAD	PUTNAM EQUITY SPECTRUM C	0.00	7.02	80.0	5.62	0.00	5.62
01/03/2017	CANFIELD, LORI	PUTNAM EQUITY SPECTRUM C	0.00	1.90	80.0	1.52	0.00	1.52
01/03/2017	POORE, NANCY	PUTNAM EQUITY SPECTRUM C	0.00	3.25	80.0	2.60	0.00	2.60
01/03/2017	GREGORY, ERIC	PUTNAM GLOBAL ENERGY B	0.00	0.28	80.0	0.22	0.00	0.22
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL ENERGY M	0.00	3.11	80.0	2.49	0.00	2.49
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	0.72	80.0	0.58	0.00	0.58

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

TABZECOMENO

aboaa

חמשסחם

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		BROKER TR	ANSACTIONS					
PRODUCT C	ATEGORY: MUTUAL FUNDS							
01/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL FINANCIALS A	0.00	1.59	80.0	1.27	0.00	1.27
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL FINANCIALS A	0.00	1.87	80.0	1.50	0.00	1.50
01/03/2017	YOSS, JAY	PUTNAM GLOBAL FINANCIALS A	0.00	1.16	80.0	0.93	0.00	0.93
01/03/2017	HIPP, DEBRA	PUTNAM GLOBAL FINANCIALS A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	DOWDY, JIMMIE	PUTNAM GLOBAL FINANCIALS A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	MOORE, TONI	PUTNAM GLOBAL FINANCIALS A	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	MICHENER, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	0.39	80.0	0.31	0.00	0.31
01/03/2017	HOUSE, CONNIE	PUTNAM GLOBAL FINANCIALS A	0.00	0.80	80.0	0.64	0.00	0.64
01/03/2017	MELTON, JOY	PUTNAM GLOBAL FINANCIALS A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM GLOBAL FINANCIALS B	0.00	1.17	80.0	0.94	0.00	0.94
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS B	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL FINANCIALS M	0.00	4.33	80.0	3.46	0.00	3.46
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL TECH A	0.00	1.97	80.0	1.58	0.00	1.58
01/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL TECH A	0.00	3.28	80.0	2.62	0.00	2.62
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL TECH A	0.00	3.75	80.0	3.00	0.00	3.00
01/03/2017	YOSS, JAY	PUTNAM GLOBAL TECH A	0.00	2.49	80.0	1.99	0.00	1.99
01/03/2017	HIPP, DEBRA	PUTNAM GLOBAL TECH A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	DOWDY, JIMMIE	PUTNAM GLOBAL TECH A	0.00	0.60	80.0	0.48	0.00	0.48
01/03/2017	MOORE, TONI	PUTNAM GLOBAL TECH A	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	MICHENER, DAVID	PUTNAM GLOBAL TECH A	0.00	1.01	80.0	0.81	0.00	0.81
01/03/2017	HOUSE, CONNIE	PUTNAM GLOBAL TECH A	0.00	0.78	80.0	0.62	0.00	0.62
01/03/2017	GREGORY, ERIC	PUTNAM GLOBAL TECH A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	MELTON, JOY	PUTNAM GLOBAL TECH A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM GLOBAL TECH B	0.00	1.15	80.0	0.92	0.00	0.92
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL TECH B	0.00	0.65	80.0	0.52	0.00	0.52
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL TECH M	0.00	0.06	80.0	0.05	0.00	0.05
01/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	CASTLE, DAVID	PUTNAM GROWTH OPP A	0.00	0.74	80.0	0.59	0.00	0.59
01/03/2017	TREADWAY, TOMMY	PUTNAM GROWTH OPP A	0.00	1.67	80.0	1.34	0.00	1.34
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GROWTH OPP A	0.00	1.82	80.0	1.46	0.00	1.46
01/03/2017	YOSS, JAY	PUTNAM GROWTH OPP A	0.00	1.21	80.0	0.97	0.00	0.97
01/03/2017	HIPP, DEBRA	PUTNAM GROWTH OPP A	0.00	0.91	80.0	0.73	0.00	0.73

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

<sup>\*\* -</sup> Indicates adjustment is not included in Totals or Commissions

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

TABZECOMENO

aboaa

MINT

חמשסחם

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		BROKER TRA	NSACTIONS					
PRODUCT C	ATEGORY: MUTUAL FUNDS							
01/03/2017	HIPP, RONALD	PUTNAM GROWTH OPP A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	HERNDON, JAMES	PUTNAM GROWTH OPP A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	DOWNING, JOHN	PUTNAM GROWTH OPP A	0.00	0.54	80.0	0.43	0.00	0.43
01/03/2017	STANFORD, DAVID	PUTNAM GROWTH OPP A	0.00	0.04	80.0	0.03	0.00	0.03
01/03/2017	MOORE, TONI	PUTNAM GROWTH OPP A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	HOUSE, CONNIE	PUTNAM GROWTH OPP A	0.00	1.11	80.0	0.89	0.00	0.89
01/03/2017	MELTON, JOY	PUTNAM GROWTH OPP A	0.00	0.55	80.0	0.44	0.00	0.44
01/03/2017	DOWDY, JIMMIE	PUTNAM GROWTH OPP C	0.00	2.68	80.0	2.14	0.00	2.14
01/03/2017	POORE, NANCY	PUTNAM GROWTH OPP C	0.00	0.04	80.0	0.03	0.00	0.03
01/03/2017	HYER, LISA	PUTNAM GROWTH OPP C	0.00	4.75	80.0	3.80	0.00	3.80
01/03/2017	NEWTON, GEORGE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.62	80.0	3.70	0.00	3.70
01/03/2017	CASTLE, DAVID	PUTNAM HIGH YIELD TRUST A	0.00	1.02	80.0	0.82	0.00	0.82
01/03/2017	TREADWAY, TOMMY	PUTNAM HIGH YIELD TRUST A	0.00	1.56	80.0	1.25	0.00	1.25
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM HIGH YIELD TRUST A	0.00	1.83	80.0	1.46	0.00	1.46
01/03/2017	YOSS, JAY	PUTNAM HIGH YIELD TRUST A	0.00	1.14	80.0	0.91	0.00	0.91
01/03/2017	DOWNING, JOHN	PUTNAM HIGH YIELD TRUST A	0.00	0.63	80.0	0.50	0.00	0.50
01/03/2017	MICHENER, DAVID	PUTNAM HIGH YIELD TRUST A	0.00	0.38	80.0	0.30	0.00	0.30
01/03/2017	CASTLE, DAVID	PUTNAM HIGH YIELD TRUST B	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	BRANCH, MARY	PUTNAM INCOME A	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	NEWTON, MAX	PUTNAM INTL CAPITAL OPPS-A	0.00	0.28	80.0	0.22	0.00	0.22
01/03/2017	COLE, CHRISTOPHER	PUTNAM INTL CAPITAL OPPS-A	0.00	0.03	80.0	0.02	0.00	0.02
01/03/2017	BRANSTETTER, MATT	PUTNAM INTL CAPITAL OPPS-A	0.00	0.24	80.0	0.19	0.00	0.19
01/03/2017	CASTLE, DAVID	PUTNAM INTL CAPITAL OPPS-B	0.00	0.65	80.0	0.52	0.00	0.52
01/03/2017	WALL-POLLAN, LEAH	PUTNAM INTL CAPITAL OPPS-C	0.00	0.25	80.0	0.20	0.00	0.20
01/03/2017	MYERS, JON	PUTNAM INTL CAPITAL OPPS-C	0.00	35.12	80.0	28.10	0.00	28.10
01/03/2017	MYERS, AMANDA	PUTNAM INTL CAPITAL OPPS-C	0.00	41.15	80.0	32.92	0.00	32.92
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.26	80.0	2.61	0.00	2.61
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.20	80.0	2.56	0.00	2.56
01/03/2017	DOCTORMAN, EDGE	PUTNAM INTL CAPITAL OPPS-C	0.00	0.72	80.0	0.58	0.00	0.58
01/03/2017	DOCTORMAN, AIMES	PUTNAM INTL CAPITAL OPPS-C	0.00	0.72	80.0	0.58	0.00	0.58
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.01	80.0	4.81	0.00	4.81
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.01	80.0	4.81	0.00	4.81
01/03/2017	NOBLE PUBLIC SCHOOLS,	PUTNAM INTL CAPITAL OPPS-C	0.00	0.02	80.0	0.02	0.00	0.02

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

01/03/2017   HYER, LISA   PUTRAM INTL CAPITAL OPPS-C   0.00   0.41   8.00   0.33   0.00   0.33   0.00   0.03   0.00   0.04   0.00   0	DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
NUMBER   STATE   STA			BROKER TRAI	NSACTIONS					
01/03/2017	DRODUCT (	TATECODY. MITTIAL FIRES	<u> </u>						
01/03/2017   HYER, LISA   PUTRAM INTL CAPITAL OPPS-C   0.00   0.41   8.00   0.33   0.00   0.33   0.00   0.03   0.00   0.04   0.00   0			DIITNAM INTI. CADITAI. ODDS-C	0 00	2 14	80 O	1 71	0 00	1.71
01/03/2017 HYER, LISA PUTNAM INIT CAPITAL OPPS-C 100.00 0.23 80.0 0.18 0.00 0.10 10/05/2017 MYER, JON PUTNAM INIT CAPITAL OPPS-C 100.00 1.00 80.0 0.80 0.00 0.80 0.00 0.80 0.00 0.80 0.00 0.80 0.00 0.80 0.00 0.80 0.00									
01/05/2017   MYERS, JON   DUTNAM INTL CAPITAL OPPS-C   100.00   1.00   80.0   0.80   0.00									
01/03/2017   COLE, CHRISTOPHER   PUTNAM INTL CAPITAL OPPS-M   0.00   0									
01/03/2017         POORE, NANCY         PUTNAM MONEY MARKET C         0.00         0.01         80.0         0.01         0.00           01/03/2017         DONNING, JOHN         PUTNAM MONEY MARKET M         0.00         0.02         80.0         0.02         0.00         0.00           01/03/2017         HUFFMAN, KRISTOPHER         PUTNAM MONEY MARKET M         0.00         0.02         80.0         0.02         0.00         0.00           01/03/2017         BUTD INVESTMENTS LLC         PUTNAM MULTI CAP GROWTH A         0.00         0.38         80.0         0.30         0.00         0.38           01/03/2017         BERANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         32.55         80.0         65.0         66.04         0.00         62.0           01/03/2017         BERANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         1.62         80.0         0.58         0.00         62.0           01/03/2017         BERANCH, MARY         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.07         0.00         0.03           01/03/2017         BUTPMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.09         80.0         0.59         0.00         0.05		•							
01/03/2017         DOWNING, JOHN         PUTNAM MONEY MARKET M         0.00         0.02         80.0         0.02         0.00           01/03/2017         SUMPRAN, KRISTOPHER         PUTNAM MONEY MARKET M         0.00         0.10         80.0         0.08         0.00           01/03/2017         SIMPSON, CHRIS         PUTNAM MONEY MARKET M         0.00         0.02         80.0         0.03         0.00           01/03/2017         SIMPSON, CHRIS         PUTNAM MULTI CAP GROWTH A         0.00         0.38         80.0         0.30         0.00         0.33           01/03/2017         BEANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         32.55         80.0         0.58         0.00         0.35           01/03/2017         DERANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         0.12         80.0         1.03         0.00         1.33           01/03/2017         DOWNING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.75           01/03/2017         BATASTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.79         80.0         1.03         0.00         1.03           01/03/2017         STANFORD, DAVID         PUTNAM SHO									0.01
01/03/2017   HUFFMAN, KRISTOPHER   PUTNAM MONEY MARKET M   0.00   0.01   8.00   0.08   0.00									0.02
01/03/2017         SIMPSON, CHRIS         PUTNAM MONEY MARKET M         0.00         0.02         80.0         0.02         0.00           01/03/2017         LUTD INVESTMENTS LLC         PUTNAM MULTI CAP GROWTH A         0.00         0.33         80.0         0.30         0.00         0.33           01/03/2017         GERHARDT, LER         PUTNAM MULTI-CAP GROWTH C         0.00         32.55         80.0         26.04         0.00         0.26.04           01/03/2017         DONRING, JOHN         PUTNAM MULTI-CAP GROWTH C         0.00         1.62         80.0         1.30         0.00         0.73           01/03/2017         DONRING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.70           01/03/2017         MCFERRON, LEARLY         PUTNAM MULTI-CAP GROWTH M         0.00         0.79         80.0         1.03         0.00         1.03           01/03/2017         HOFFMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.70         80.0         0.56         0.00         0.56           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.03         80.0         0.13         0.00           01/03/2017									0.08
01/03/2017         LLTD INVESTMENTS LLC         PUTNAM MULTI CAP GROWTH A         0.00         0.38         80.0         0.30         0.03           01/03/2017         GERHARUT, LEE         PUTNAM MULTI-CAP GROWTH C         0.00         0.272         80.0         0.58         0.00         0.55           01/03/2017         BRANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         1.62         80.0         0.33         0.00         1.23           01/03/2017         DOWNING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.129         80.0         0.79         0.00         0.73           01/03/2017         MCFERRON, LARRY         PUTNAM MULTI-CAP GROWTH M         0.00         0.129         80.0         0.079         0.00         1.00           01/03/2017         HUFEMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.0         0.56         0.00         0.56           01/03/2017         HUFEMAN, KRISTOPHER         PUTNAM SHUTT-CAP GROWTH M         0.00         0.0         0.0         0.56         0.00         0.56           01/03/2017         BRANSTETTER, MATT         PUTNAM SHUTT-CAP GROWTH M         0.00         0.0         0.0         0.50         0.56         0.00         0.5 <td< td=""><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td>0.02</td></td<>									0.02
01/03/2017         BRANCH, MARY         PUTNAM MULTI CAP GROWTH A         0.00         0.72         80.0         0.58         0.00         0.55           01/03/2017         GERARDT, LEE         PUTNAM MULTI-CAP GROWTH C         0.00         32.55         80.0         26.04         0.00         26.05           01/03/2017         GERANCH, MARY         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.73           01/03/2017         DOMNING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.75           01/03/2017         HUFRAM, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.70         80.0         0.56         0.00         0.55           01/03/2017         HUFRAM, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.70         80.0         0.56         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.23         80.0         0.56         0.00         0.2           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.01         0.00           <									0.30
01/03/2017         GERHARDT, LEE         PUTNAM MULTI-CAF GROWTH C         0.00         32.55         80.0         26.04         0.00         26.06           01/03/2017         BRANCH, MARY         PUTNAM MULTI-CAF GROWTH C         0.00         1.62         80.0         1.30         0.00         1.33           01/03/2017         DONING, JOHN         PUTNAM MULTI-CAF GROWTH M         0.00         0.99         80.0         0.79         0.00         0.77           01/03/2017         MCFERRON, LARRY         PUTNAM MULTI-CAF GROWTH M         0.00         1.29         80.0         1.03         0.00         0.55           01/03/2017         HUFFMAN, KRISTOPHER         PUTNAM MULTI-CAF GROWTH M         0.00         2.39         80.0         1.91         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.30         80.0         0.24         0.00         0.2           01/03/2017         STANFORD, DAVID         PUTNAM SHALL CAF GROWTH-C         0.00         0.16         80.0         0.13         0.00         0.1           01/03/2017         RIPLEY, ANTHONY         PUTNAM SHALL CAF GROWTH-C         0.00         46.34         80.0         37.07         0.00         0.2									0.58
01/03/2017         BRANCH, MARY         PUTNAM MULTI-CAP GROWTH C         0.00         1.62         80.0         1.30         0.00         1.33           01/03/2017         DOWNING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.77           01/03/2017         HUFFMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         1.29         80.0         1.03         0.00         1.05           01/03/2017         STANFORD, DAVID         PUTNAM MULTI-CAP GROWTH M         0.00         2.39         80.0         1.91         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.30         80.0         0.24         0.00         0.2           01/03/2017         BRANSTETTER, MATT         PUTNAM SHALL CAP GROWTH M         0.00         0.16         80.0         0.13         0.00         0.2           01/03/2017         BRANSTETTER, MATT         PUTNAM SHALL CAP GROWTH M         0.00         0.16         80.0         0.13         0.00         0.1           01/03/2017         SINDER, LESTER         PUTNAM SHALL CAP GROWTH M         0.00         0.16         80.0         0.10         0.0         0.5									26.04
01/03/2017         DOWNING, JOHN         PUTNAM MULTI-CAP GROWTH M         0.00         0.99         80.0         0.79         0.00         0.70           01/03/2017         MCFERRON, LARRY         PUTNAM MULTI-CAP GROWTH M         0.00         1.29         80.0         1.03         0.00         1.00           01/03/2017         HIFFMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         2.79         80.0         0.56         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.30         80.0         0.24         0.00         0.24           01/03/2017         STANFORD, DAVID         PUTNAM SHALL CAP GROWTH-A         0.00         0.16         80.0         0.13         0.00         0.13           01/03/2017         RIPLEY, ANTHONY         PUTNAM SHALL CAP GROWTH-C         0.00         0.03         80.0         0.02         0.00           01/03/2017         SINJERRI LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         0.61         80.0         0.25         0.00         0.55           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.61         80.0         0.50         0.00         0.5           01									1.30
01/03/2017         MCFERRON, LARRY         PUTNAM MULTI-CAP GROWTH M         0.00         1.29         80.0         1.03         0.00         1.03           01/03/2017         HUFFMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.70         80.0         0.56         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM MULTI-CAP GROWTH M         0.00         2.39         80.0         1.91         0.00         1.99           01/03/2017         BRANSTETTER, MATT         PUTNAM SHORT DURATION INCOME A         0.00         0.30         80.0         0.24         0.00         0.2           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.13         0.00         0.1           01/03/2017         STANFORD, DAVID         PUTNAM SHALL CAP GROWTH-A         0.00         0.16         80.0         0.02         0.00         0.0           01/03/2017         SINDER, LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         46.34         80.0         37.07         0.00         37.0           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.13         0.0         0.1     <									0.79
01/03/2017         HUFFMAN, KRISTOPHER         PUTNAM MULTI-CAP GROWTH M         0.00         0.70         80.0         0.56         0.00         0.55           01/03/2017         STANFORD, DAVID         PUTNAM MULTI-CAP GROWTH M         0.00         2.39         80.0         1.91         0.00         1.99           01/03/2017         BRANSTETTER, MATT         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.24         0.00         0.2           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.13         0.00         0.1           01/03/2017         STANFORD, DAVID         PUTNAM SHALL CAP GROWTH-A         0.00         0.01         80.0         0.02         0.00         0.1           01/03/2017         STANFORD, DAVID         PUTNAM SMALL CAP GROWTH-C         0.00         0.61         80.0         0.02         0.00         0.00           01/03/2017         VANDERBURG, JENTY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.5           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.10         0.0         0.3     <		,							1.03
01/03/2017 STANFORD, DAVID PUTNAM MULTI-CAP GROWTH M 0.00 2.39 80.0 1.91 0.00 1.90 1.00 1.90 1.00 1.90 1.00 1.0									0.56
01/03/2017         BRANSTETTER, MATT         PUTNAM SHORT DURATION INCOME A         0.00         0.30         80.0         0.24         0.00         0.22           01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.13         0.00         0.1           01/03/2017         RIPLEY, ANTHONY         PUTNAM SMALL CAP GROWTH-A         0.00         0.03         80.0         0.02         0.00         0.00           01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         46.34         80.0         37.07         0.00         37.00           01/03/2017         VANDERBURG, JENNY         PUTNAM SMALL CAP GROWTH-C         0.00         2.81         80.0         2.25         0.00         2.2           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.5           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.12         80.0         0.10         0.0         0.1           01/03/2017         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.38         0.00         0.3           01/03/2017 </td <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>1.91</td>									1.91
01/03/2017         STANFORD, DAVID         PUTNAM SHORT DURATION INCOME A         0.00         0.16         80.0         0.13         0.00         0.10           01/03/2017         RIPLEY, ANTHONY         PUTNAM SMALL CAP GROWTH-A         0.00         0.03         80.0         0.02         0.00         0.00           01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         46.34         80.0         37.07         0.00         37.00           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.5           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.12         80.0         0.10         0.00         0.1           01/03/2017         HYER, LISA         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.38         0.00         0.3           01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         100.00         1.00         80.0         0.80         0.00         0.8           01/03/2017         CASTLE, DAVID         PUTNAM SMALL CAP VALUE A         0.00         1.06         80.0         0.85         0.00         0.8									0.24
01/03/2017         RIPLEY, ANTHONY         PUTNAM SMALL CAP GROWTH-A         0.00         0.03         80.0         0.02         0.00         0.00           01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         46.34         80.0         37.07         0.00         37.07           01/03/2017         VANDERBURG, JENNY         PUTNAM SMALL CAP GROWTH-C         0.00         2.81         80.0         2.25         0.00         2.2           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.5           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.12         80.0         0.10         0.00         0.3           01/03/2017         HYER, LISA         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.38         0.00         0.3           01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         100.00         1.00         80.0         0.80         0.80         0.00         0.88           01/03/2017         CASTLE, DAVID         PUTNAM SMALL CAP VALUE A         0.00         1.06         80.0         1.41         0.00         1.44     <									0.13
01/03/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         0.00         46.34         80.0         37.07         0.00         37.07           01/03/2017         VANDERBURG, JENNY         PUTNAM SMALL CAP GROWTH-C         0.00         2.81         80.0         2.25         0.00         2.2           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.5           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.10         0.00         0.3           01/03/2017         HYER, LISA         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.38         0.00         0.3           01/06/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         100.00         1.00         80.0         0.80         0.00         0.8           01/03/2017         CASTLE, DAVID         PUTNAM SMALL CAP VALUE A         0.00         1.06         80.0         0.85         0.00         0.8           01/03/2017         TREADWAY, TOMMY         PUTNAM SMALL CAP VALUE A         0.00         1.90         80.0         1.52         0.00         1.5	01/03/2017		PUTNAM SMALL CAP GROWTH-A	0.00	0.03	80.0	0.02	0.00	0.02
01/03/2017         VANDERBURG, JENNY         PUTNAM SMALL CAP GROWTH-C         0.00         2.81         80.0         2.25         0.00         2.25           01/03/2017         BRANCH, MARY         PUTNAM SMALL CAP GROWTH-C         0.00         0.62         80.0         0.50         0.00         0.55           01/03/2017         POORE, NANCY         PUTNAM SMALL CAP GROWTH-C         0.00         0.12         80.0         0.10         0.00         0.1           01/03/2017         HYER, LISA         PUTNAM SMALL CAP GROWTH-C         0.00         0.48         80.0         0.38         0.00         0.8           01/06/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         100.00         1.00         80.0         0.80         0.00         0.8           01/03/2017         CASTLE, DAVID         PUTNAM SMALL CAP VALUE A         0.00         1.06         80.0         0.85         0.00         0.8           01/03/2017         TREADWAY, TOMMY         PUTNAM SMALL CAP VALUE A         0.00         1.76         80.0         1.41         0.00         1.5           01/03/2017         FAIRLESS, BENJAMIN         PUTNAM SMALL CAP VALUE A         0.00         1.26         80.0         1.01         0.00         1.0 <td< td=""><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td>37.07</td></td<>									37.07
01/03/2017       POORE, NANCY       PUTNAM SMALL CAP GROWTH-C       0.00       0.12       80.0       0.10       0.00       0.10         01/03/2017       HYER, LISA       PUTNAM SMALL CAP GROWTH-C       0.00       0.48       80.0       0.38       0.00       0.38         01/06/2017       SNYDER, LESTER       PUTNAM SMALL CAP GROWTH-C       100.00       1.00       80.0       0.80       0.00       0.8         01/03/2017       CASTLE, DAVID       PUTNAM SMALL CAP VALUE A       0.00       1.06       80.0       0.85       0.00       0.8         01/03/2017       TREADWAY, TOMMY       PUTNAM SMALL CAP VALUE A       0.00       1.76       80.0       1.41       0.00       1.4         01/03/2017       FAIRLESS, BENJAMIN       PUTNAM SMALL CAP VALUE A       0.00       1.90       80.0       1.52       0.00       1.5         01/03/2017       YOSS, JAY       PUTNAM SMALL CAP VALUE A       0.00       0.95       80.0       0.76       0.00       0.7         01/03/2017       HIPP, DEBRA       PUTNAM SMALL CAP VALUE A       0.00       0.95       80.0       0.76       0.00       0.7         01/03/2017       HIPP, RONALD       PUTNAM SMALL CAP VALUE A       0.00       0.95       80.0	01/03/2017	VANDERBURG, JENNY	PUTNAM SMALL CAP GROWTH-C	0.00	2.81	80.0	2.25	0.00	2.25
01/03/2017 HYER, LISA PUTNAM SMALL CAP GROWTH-C 0.00 0.48 80.0 0.38 0.00 0.38 0.00 0.30 0.40 0.40 0.40 0.40 0.40 0.40	01/03/2017	BRANCH, MARY	PUTNAM SMALL CAP GROWTH-C	0.00	0.62	80.0	0.50	0.00	0.50
01/06/2017         SNYDER, LESTER         PUTNAM SMALL CAP GROWTH-C         100.00         1.00         80.0         0.80         0.00         0.88           01/03/2017         CASTLE, DAVID         PUTNAM SMALL CAP VALUE A         0.00         1.06         80.0         0.85         0.00         0.88           01/03/2017         TREADWAY, TOMMY         PUTNAM SMALL CAP VALUE A         0.00         1.76         80.0         1.41         0.00         1.4           01/03/2017         FAIRLESS, BENJAMIN         PUTNAM SMALL CAP VALUE A         0.00         1.90         80.0         1.52         0.00         1.5           01/03/2017         YOSS, JAY         PUTNAM SMALL CAP VALUE A         0.00         1.26         80.0         1.01         0.00         1.0           01/03/2017         HIPP, DEBRA         PUTNAM SMALL CAP VALUE A         0.00         0.95         80.0         0.76         0.00         0.7           01/03/2017         HIPP, RONALD         PUTNAM SMALL CAP VALUE A         0.00         1.24         80.0         0.99         0.00         0.99	01/03/2017	POORE, NANCY	PUTNAM SMALL CAP GROWTH-C	0.00	0.12	80.0	0.10	0.00	0.10
01/03/2017 CASTLE, DAVID PUTNAM SMALL CAP VALUE A 0.00 1.06 80.0 0.85 0.00 0.80 01/03/2017 TREADWAY, TOMMY PUTNAM SMALL CAP VALUE A 0.00 1.76 80.0 1.41 0.00 1.40 01/03/2017 FAIRLESS, BENJAMIN PUTNAM SMALL CAP VALUE A 0.00 1.90 80.0 1.52 0.00 1.50 01/03/2017 YOSS, JAY PUTNAM SMALL CAP VALUE A 0.00 1.26 80.0 1.01 0.00 1.00 01/03/2017 HIPP, DEBRA PUTNAM SMALL CAP VALUE A 0.00 0.95 80.0 0.76 0.00 0.76 01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/03/2017	HYER, LISA	PUTNAM SMALL CAP GROWTH-C	0.00	0.48	80.0	0.38	0.00	0.38
01/03/2017 TREADWAY, TOMMY PUTNAM SMALL CAP VALUE A 0.00 1.76 80.0 1.41 0.00 1.40 01/03/2017 FAIRLESS, BENJAMIN PUTNAM SMALL CAP VALUE A 0.00 1.90 80.0 1.52 0.00 1.50 01/03/2017 YOSS, JAY PUTNAM SMALL CAP VALUE A 0.00 1.26 80.0 1.01 0.00 1.00 01/03/2017 HIPP, DEBRA PUTNAM SMALL CAP VALUE A 0.00 0.95 80.0 0.76 0.00 0.76 01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/06/2017	SNYDER, LESTER	PUTNAM SMALL CAP GROWTH-C	100.00	1.00	80.0	0.80	0.00	0.80
01/03/2017 FAIRLESS, BENJAMIN PUTNAM SMALL CAP VALUE A 0.00 1.90 80.0 1.52 0.00 1.50 01/03/2017 YOSS, JAY PUTNAM SMALL CAP VALUE A 0.00 1.26 80.0 1.01 0.00 1.00 01/03/2017 HIPP, DEBRA PUTNAM SMALL CAP VALUE A 0.00 0.95 80.0 0.76 0.00 0.70 01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.06	80.0	0.85	0.00	0.85
01/03/2017 YOSS, JAY PUTNAM SMALL CAP VALUE A 0.00 1.26 80.0 1.01 0.00 1.00 1.00 01/03/2017 HIPP, DEBRA PUTNAM SMALL CAP VALUE A 0.00 0.95 80.0 0.76 0.00 0.76 0.10 01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/03/2017	TREADWAY, TOMMY	PUTNAM SMALL CAP VALUE A	0.00	1.76	80.0	1.41	0.00	1.41
01/03/2017 HIPP, DEBRA PUTNAM SMALL CAP VALUE A 0.00 0.95 80.0 0.76 0.00 0.70 01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/03/2017	FAIRLESS, BENJAMIN	PUTNAM SMALL CAP VALUE A	0.00	1.90	80.0	1.52	0.00	1.52
01/03/2017 HIPP, RONALD PUTNAM SMALL CAP VALUE A 0.00 1.24 80.0 0.99 0.00 0.99	01/03/2017	YOSS, JAY	PUTNAM SMALL CAP VALUE A	0.00	1.26	80.0	1.01	0.00	1.01
	01/03/2017	HIPP, DEBRA	PUTNAM SMALL CAP VALUE A	0.00	0.95	80.0	0.76	0.00	0.76
01/03/2017 DOWNING, JOHN PUTNAM SMALL CAP VALUE A 0.00 1.21 80.0 0.97 0.00 0.9	01/03/2017	HIPP, RONALD	PUTNAM SMALL CAP VALUE A	0.00	1.24	80.0	0.99	0.00	0.99
	01/03/2017	DOWNING, JOHN	PUTNAM SMALL CAP VALUE A	0.00	1.21	80.0	0.97	0.00	0.97

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

<sup>\*\* -</sup> Indicates adjustment is not included in Totals or Commissions

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		BROKER TRANS	SACTIONS					
PRODIICT CA	ATEGORY: MUTUAL FUNDS							
01/03/2017	MOORE, TONI	PUTNAM SMALL CAP VALUE A	0.00	0.69	80.0	0.55	0.00	0.55
01/03/2017	MICHENER, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.05	80.0	0.84	0.00	0.84
01/03/2017	HOUSE, CONNIE	PUTNAM SMALL CAP VALUE A	0.00	1.17	80.0	0.94	0.00	0.94
01/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE A	0.00	0.61	80.0	0.49	0.00	0.49
01/03/2017	MELTON, JOY	PUTNAM SMALL CAP VALUE A	0.00	0.59	80.0	0.47	0.00	0.47
01/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE B	0.00	1.01	80.0	0.81	0.00	0.81
01/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE B	0.00	0.29	80.0	0.23	0.00	0.23
01/03/2017	DOWDY, JIMMIE	PUTNAM SMALL CAP VALUE C	0.00	2.82	80.0	2.26	0.00	2.26
01/03/2017	CANFIELD, LORI	PUTNAM SMALL CAP VALUE C	0.00	2.03	80.0	1.62	0.00	1.62
01/03/2017	POORE, NANCY	PUTNAM SMALL CAP VALUE C	0.00	1.28	80.0	1.02	0.00	1.02
01/03/2017	KING, REPAULA	PUTNAM VOYAGER A	0.00	0.17	80.0	0.14	0.00	0.14
01/03/2017	KING, REPAULA	PUTNAM VOYAGER A	0.00	0.17	80.0	0.14	0.00	0.14
01/03/2017	HERNDON, JAMES	PUTNAM VOYAGER A	0.00	0.16	80.0	0.13	0.00	0.13
01/03/2017	STANFORD, DAVID	PUTNAM VOYAGER A	0.00	0.02	80.0	0.02	0.00	0.02
/ /	VOCI, ROBERTO	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.20	80.0	0.16	0.00	0.16
01/17/2017	DOWNING, JOHN	RYDEX GUGG NASDAQ 100 2X STRATEGY	300.00	3.00	80.0	2.40	0.00	2.40
01/20/2017	ARRINGTON, NANCY	RYDEX GUGG NASDAQ 100 2X STRATEGY	100.00	1.00	80.0	0.80	0.00	0.80
		* MUTUAL FUNDS SUBTOTAL *	\$800.00	\$365.68		\$292.58	\$0.00	\$292.58
PRODUCT CA	ATEGORY: STOCKS							
01/25/2017	ACOSTA, ANNA	DIREXION SHS ETF TR DIREXION DAILY	12,868.80	49.00	80.0	39.20	22.50	16.70
01/12/2017	STANFORD, DAVID	DIREXION SHS ETF TR SMALL CAP BULL	-9,813.00	49.00	80.0	39.20	22.50	16.70
01/12/2017	ACOSTA, ANNA	DIREXION SHS ETF TR SMALL CAP BULL	-9,812.20	49.00	80.0	39.20	22.50	16.70
		* STOCKS SUBTOTAL *	\$-6,756.40	\$147.00		\$117.60	\$67.50	\$50.10
PRODUCT CA	ATEGORY: VARIABLE ANNUI	TIES						
01/20/2017	ARRINGTON, NANCY	JNL ELITE ACCESS	100.00	5.25	80.0	4.20	0.00	4.20
01/17/2017	FRANKS, MARTHA	JNL PERSPECTIVE L	12.48	0.74	80.0	0.59	0.00	0.59
01/23/2017	FRANKS, MARTHA	JNL PERSPECTIVE L	25.30	1.51	80.0	1.21	0.00	1.21
01/03/2017	STINSON, BRADLEY	PAC LIFE INNOVATIVE SELECT	0.00	5.00	80.0	4.00	0.00	4.00
01/04/2017	ROLLINS, LISA	PAC LIFE VALUE	0.00	43.48	80.0	34.78	0.00	34.78
01/06/2017	ROSENFELT, PHYLIS	PAC LIFE VALUE	0.00	5.24	80.0	4.19	0.00	4.19
		* VARIABLE ANNUITIES SUBTOTAL *	\$137.78	\$61.22		\$48.97	\$0.00	\$48.97

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		BROKER TRANS	SACTIONS					
PRODUCT CA	TEGORY: MUTUAL FUND 1	2B1 TRAILS						
12/30/2016	BRANSTETTER, VARIOUS	PACIFIC LIFE FUNDS	0.00	440.60	80.0	352.48	0.00	352.48
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$440.60		\$352.48	\$0.00	\$352.48
PRODUCT CA	TEGORY: VARIABLE ANNU	ITY 12B1 TRAILS						
12/13/2016	STANFORD, DAVID	ING VOYA MARATHON PLUS	0.00	0.91	80.0	0.73	0.00	0.73
01/13/2017	STANFORD, DAVID	ING VOYA MARATHON PLUS	0.00	0.92	80.0	0.74	0.00	0.74
01/10/2017	STANFORD, ELAINE	PAC LIFE INNOVATIVE SELECT	0.00	73.42	80.0	58.74	0.00	58.74
01/11/2017	NEWBERN, BRENDA	PAC LIFE INNOVATIVE SELECT	0.00	4.66	80.0	3.73	0.00	3.73
01/09/2017	BRANCH, MARY	PAC LIFE PORTFOLIOS	0.00	210.04	80.0	168.03	0.00	168.03
01/09/2017	HAYES, GARY	PAC LIFE VALUE	0.00	6.55	80.0	5.24	0.00	5.24
01/17/2017	CARROLL, ARDITH	PAC LIFE VALUE	0.00	7.16	80.0	5.73	0.00	5.73
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$303.66		\$242.94	\$0.00	\$242.94
		*** BROKER TRANSACTIONS TOTAL ***	\$8,545.02	\$1,479.95		\$1,184.01	\$67.50	\$1,116.51

BROKER COMMISSION	TOTALS
Broker Transactions	\$1,116.51
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-166.13
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00
Check Amount	\$950.38
Year-to-date Gross	\$3,128.18
Year-to-date Earnings	\$2,412.67

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed